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ABSTRACT

The guide's major target audiences are local officials and leaders of community organizations; the major purposes are to introduce rural leaders to a wide range of assistance possibilities, to inform leaders of the processes involved in obtaining assistance from these various resources, and to encourage greater involvement on the part of rural leaders in obtaining assistance. The beginning section deals with federal programs and is broken down by such departments as: agriculture; commerce; health, education, and welfare; and a number of independent agencies. Section II emphasizes that state governments are important resources for furthering rural development activities, indicates where to go for support, and lists areas of involvement. Section III discusses foundation assistance (when to seek, what to expect, and where to find) and provides a listing of foundations that fund rural programs. Section IV is concerned with church resources; considerations to take into account before seeking church funding are provided as well as a list of major programs. Section V deals with other private sector resources such as corporate and union resources. Section VI is concerned with agencies that can provide assistance in capacity building for rural development--federal, state, educational, multicounty planning organizations, membership associations, nonprofit organizations, and private consultants. The directory concludes with a functional cross reference section. (BR)

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Resource Guide for Rural Development

Handbook for Accessing Government and Private Funding Sources

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Offices in Atlanta and Austin

Resource Guide for Rural Development

Handbook for Accessing Government and Private Funding Sources

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1978

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FOREWORD

In recent years we have witnessed a dramatic change in national rural development trends. Rural areas as a whole have experienced significant population growth since 1970 brought about by the return of people of rural origin, the movement of people from the cities, and greater retention of rural residents. The rural manufacturing sector has grown considerably, and employment has increased and diversified. Despite these positive changes, many rural citizens continue to be plagued by low wage levels, few employment opportunities, lack of skills, poor housing, inadequate health care, restraints on personal mobility, and lack of essential public facilities. One in six rural residents lives in poverty, compared with one in nine metropolitan citizens. The quality of life in some rural communities is threatened by too rapid growth, while other rural communities continue to suffer from population loss.

This guide seeks to address the problems of those rural citizens who have not shared in the favorable changes in rural development reflected in national rural development trends. This is a guide for learning about a number of resources, both financial and technical, for rural development. *Rural Development can be defined as encompassing the many dimensions or conditions which determine the quality of life: access to public services and facilities; economic development; protection or enhancement of natural and environmental resources; human resource development; and the capacity of rural people, communities, and institutions to interact effectively in identifying and attaining goals.**

The major impetus for this guide grew out of a conference on community economic development in Central Appalachia, co-sponsored by the National Rural Center and the Human/Economic Appalachian Development Corporation. The conference underscored the need for a "roadmap" of resources in the rural development field - a need also perceived by the National Rural Center through the work of its Information Clearinghouse.

The major premise of the guide is that rural communities should have choices in shaping their future and that good information available to leaders of resource-poor communities can help to increase those choices. It is hoped that rural leaders, especially leaders of resource-poor communities, will be encouraged to seek outside assistance when needed, while at the same time preserving traditional values of self-sufficiency and cooperation.

The major purposes of the guide are to introduce rural leaders to a wide range of assistance possibilities; to inform leaders of the processes involved in obtaining assistance from these various resources; and to encourage greater involvement on the part of rural leaders in obtaining assistance, thereby improving the quality of life of the local communities and increasing the responsiveness of assistance providers to rural problems.

It is hoped that this guide will be helpful to a wide audience. The major target audiences are local officials and leaders of community organizations. At another level, the anticipated audience includes support personnel such as regional planners, state officials and county

agents of various U.S.D.A agencies. Obviously, with such a wide target audience, it is impossible to tailor the discussion to any single situation. Hence, some of the federal programs discussed are limited to local public bodies, while assistance from foundations, churches, and other private resources is of greater potential significance to organizations with tax-exempt status.

It is the intention of the National Rural Center to update this guide periodically. It would be helpful to have your reactions to the guide's usefulness and suggestions as to how it can be of greater use. Please fill in the "Comments and Suggestions" form at the end of the guide. In addition, the National Rural Center's Information Clearinghouse will stand ready to help users who have difficulty locating or utilizing any assistance providers mentioned in the following chapters.

* There are numerous definitions of the term, "rural". The Census Bureau, the Office of Management and Budget, the Department of Transportation, the Department of Housing and Urban Development, and the Department of Agriculture have various definitions of "rural", "nonmetropolitan", and "nonurbanized". The term has been used broadly in this guide to reflect all people who live on or off farms -- whether in the open countryside or in communities, counties, townships, small towns -- and rural pockets within metropolitan areas. "Small towns" means communities having populations up to 50,000.

RESOURCE GUIDE FOR RURAL DEVELOPMENT

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CHAPTER ONE

FEDERAL FINANICAL ASSISTANCE

"My view of government's responsibility to our citizens is that our public programs should enhance the quality of life of all our people. Second, our governmental actions should maximize the legal and economic freedom of our people to decide for themselves where they want to live, work, rear their families, and enjoy their retirement years."

Congressional testimony of
the Honorable Jimmy Carter
as Governor of Georgia, 1971

INTRODUCTION

The federal government of the United States is the largest single source of grant funds in the world, and therefore, is a potentially great resource to rural communities in need of assistance. An enormous variety of programs provide assistance to communities in the form of grants, training, technical assistance, information dissemination, and loans. The 1977 Catalog of Federal Domestic Assistance lists 1,046 such programs administered by 55 federal agencies. Federal financial assistance to state and local governments and nongovernmental domestic organizations has increased from $3 billion in fiscal year 1955 to an estimated $72 billion in fiscal year 1977.

In planning and implementing rural development strategies, rural communities and organizations have much at stake in how the federal pie is sliced. Too often, local resources are not adequate to meet both existing demands for delivery of services and new programs to help expand job opportunities and improve the quality of life in the community. In such circumstances, federal assistance may provide the resources to help your community accomplish its goals. Moreover, while rural development has traditionally been a low priority item on the national agenda, recent developments suggest that there is a growing awareness on the part of a number of federal officials of the importance of forging a national rural development policy process.

The federal assistance process, however, is complicated and often frustrating as well. An urban bias exists in a number of federal agencies that are charged with providing assistance to rural areas. Despite the lack of a rational framework and the apparent bias of some programs against rural areas, it is possible to gain an adequate understanding of the system. With a good blend of persistence, resourcefulness, and luck, it is possible to come out ahead.

The purposes of this chapter are to provide insight into the process of obtaining federal assistance, to inform the reader of tools that might be useful in obtaining current and accurate information on federal programs, and to provide brief summaries of a number of federal programs that might be helpful in meeting the needs of rural communities.

EVOLUTION OF FEDERAL ASSISTANCE PROGRAMS

To help understand the present system, it is important to gain insight into two recent trends in American federalism. In 1964, President Johnson launched a period of accelerated governmental activity at the national level aimed at eliminating discrimination and insuring access to economic opportunities for the disadvantaged. This effort is commonly referred to as the Great Society programs,

or the War on Poverty. Largely in reaction to perceived excesses of the Great Society programs, President Nixon and later President Ford called for a return to normalcy and backed efforts to decentralize decision making, simplify program administration, and provide for intergovernmental coordination. The Nixon/Ford years are commonly referred to as the New Federalism. To further the goals of these respective administrations, different kinds of assistance grew out of the Great Society and New Federalism periods.

To help end discrimination and poverty, the Johnson Administration provided incentives of direct federal-local project grants. Often these grants bypassed the states and offered assistance to nonprofit organizations and specialized public agencies, as well as to local governments. PROJECT GRANTS have the following characteristics: funds are awarded on a competitive basis according to subjective criteria (grantsmanship is required), funding is for fixed periods, and grants are made for particular (categorical) programs in selected jurisdictions.

The proliferation of programs utilizing project grants created an information gap for potential recipients. Moreover, as federal assistance programs multiplied, coordination of intergovernmental efforts became increasingly difficult, and the federal burden of processing proposals, distributing funds, and reviewing projects mounted.

The Nixon/Ford Administrations sought to reduce the role of the federal government through decentralization and the consolidation of existing programs. New Federalism attempts to simplify and better manage federal assistance were part and parcel of a new system of dispensing federal aid. Whereas the Johnson Administration had sometimes bypassed local and state governments in favor of organizations that were perceived as more responsive to the needs of the poor, the Nixon/Ford Administrations sought to bolster these entities through the use of formula grants. FORMULA GRANTS are allocated according to some set of fixed criteria such as population, per capita income, etc.

In seeking to reduce administrative discretion over the allocation of federal dollars and to simplify the funding stream, the Nixon/Ford Administrations promoted the consolidation of various categorical project grants for similar purposes into more general block grants. This is one kind of formula grant. The amount of grant awards is determined by a distinct formula set for a single general purpose, such as health services, law enforcement, community development, or manpower training. During this period general revenue sharing was also initiated. Under this program some 39,000 units of state and local government receive federal dollars with few or no strings attached by the federal government.

President Carter appears to be aggressively pursuing the reform and streamlining of federal grants management, but it is uncertain whether or not he will propose a distinct counterpart to the Great Society or the New Federalism.

Aside from the grants-in-aid programs of the Great Society and New Federalism, another important source of federal financial assistance exists to help provide for expanded credit and investment in rural America. To help meet this need a variety of loan programs have been established to finance rural housing, community facilities, small enterprises, water and sewer development, recreational facilities, and industrial development. Federal departments that are principally involved in providing nonfarm rural economic development credit include the Department of Agriculture, the Department of Commerce, and the Small Business Administration. Historically, the Public Works and Economic Development Act of 1965 and the Rural Development Act of 1972 have been the most significant pieces of legislation to focus on the credit needs of rural areas.

Federal agencies play diverse roles in providing credit. Thus, loan criteria, terms, and amounts vary from program to program. Guaranteed loans refer to those which are made and serviced by a private credit institution and guaranteed by the federal agency; insured loans are those which are insured and serviced by the federal agency; and direct loans are provided directly by the federal agency.

In summary, the crosscurrents of the Great Society and New Federalism periods have created an exceptionally complicated system of administering and receiving funds. A number of the grants of the Great Society were trimmed and consolidated during the New Federalism into formula grants which have become increasingly significant in dollar terms. Nevertheless, project grant programs are by far more numerous, and the "information gap" is still wide. A number of credit programs exist which often introduce new actors and rules, and thus, the process grows ever more complicated. While the Great Society sought to increase citizen participation in a number of federal programs, the New Federalism's decentralization centered around the transfer of governmental authority. State governments are major beneficiaries of this transfer with formula grants being overwhelmingly distributed to them. For rural areas this often means an extra layer of bureaucracy to become familiar with, difficulty in shaking loose "balance-of-state" funds, and problems with meeting comprehensive planning requirements. In order to obtain federal financial assistance, rural communities have discovered that it is necessary to become familiar with the various layers of bureaucracy through which federal funds pass - whether from Washington, the federal regional or area office, the state, or at the local level.

The days of "easy" federal money have certainly passed, and grantsmanship has become increasingly competitive. Despite the complexity of the system, some useful tools are available to help identify relevant programs and direct you to the appropriate federal agency or level of government. These tools exist to help guide the way through what is likely to be both a frustrating and exciting experience.

IDENTIFYING FEDERAL ASSISTANCE PROGRAMS

The Catalog of Federal Domestic Assistance

Under its charge to coordinate federal programs to assist the poor, the Office of Economic Opportunity compiled a Catalog of Federal Programs for Individuals and Community Development in 1965. This document is presently updated annually by the Office of Management and Budget under a new title - Catalog of Federal Domestic Assistance. It is an essential tool for those seriously pursuing federal financial assistance. The Catalog can be found in many public and university libraries or may be ordered from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. The current cost is $18.00, but the exact price should be confirmed by the Government Printing Office before ordering.

The 1977 Catalog provides an expanded and useful introduction on how to use the document which should be read carefully. There is also a new index for nonprofit organizations along with existing indexes. These include: indexes according to applicant eligibility - individuals, local governments, and state governments; a functional index that lists programs according to categories; a popular name index; and a subject index. Learning how to use these indexes effectively will help increase the Catalog's usefulness and save time. Another new feature of the 1977 Catalog is an appendix of application deadlines, which is helpful but not necessarily current.

The Catalog provides substantial information on almost all federal assistance programs. The next page provides a sample program description from the Catalog. The amount of information in a single program description is deceptively great. Each entry contains valuable clues which should help in determining whether or not the program is suitable. No attempt will be made here to explain each entry of a program description since this is covered adequately in the Catalog Introduction. However, frequent reference will be made in the following sections to the various entries.

The Federal Program Information Act mandates the combining of the computerized Federal Assistance Program Retrieval System (FAPRS) developed by the Rural Development Service with the Catalog, FAPRS helps to identify federal programs which are relevant to individual community needs. Inquiries about the service should be directed to the Farmers Home Administration in Washington, phone (202) 447-2573.

Since the federal dollar game is both complicated and unpredictable, it is unlikely that any single document or information office will offer the complete and current information needed to obtain assistance. The Catalog is an excellent beginning point, but it would require monthly or bimonthly updates to keep the Catalog current. Moreover, the Catalog does not provide insight into new program developments and legislation which have significant impact on the programs listed. Thus, other tools should be used in conjunction with the Catalog.

10.418 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES

FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

AUTHORIZATION: Consolidated Farm and Rural Development Act, Section 306; Public Law 92-419; 7 U.S.C. 1926.

OBJECTIVES: To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the Nation by meeting the need for new and improved rural water and waste disposal systems.

TYPES OF ASSISTANCE: Guaranteed/Insured Loans; Project Grants.

USES AND USE RESTRICTIONS: Funds may be used for the installation, repair, improvement, or expansion of a rural water system including distribution lines, well, pumping facilities and costs related thereto. The installation, repair, improvement, or expansion of a rural waste disposal system including the collection, and treatment of sanitary, storm, and solid wastes. JOINT FUNDING: This program is considered particularly suitable (eligible) for joint funding with other closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as particularly suitable or eligible for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: Municipalities, counties, and other political subdivisions of a State, such as districts and authorities; associations, cooperatives, and corporations operated on a not-for-profit basis; and Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. Facilities shall primarily serve rural residents. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms, and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual residential user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the average annual residential user cost exceeds 1 percent of the median income for the area to be served.

Beneficiary Eligibility: Primarily rural residents in eligible applicant areas as set out above.

Credentials/Documentation: Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with FMC 74-4 for State and local governments.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: Applications should be reviewed under procedures in Part I of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by FMC 74-7 must be used for this program. An environmental impact assessment and environmental impact statement are required for this program.

Application Procedure: Preapplication Form AD-621 and Application Form AD-624 are filed at the county FmHA office from which assistance may be obtained.

Award Procedure: The State Director is the loan approval official. Notification of grant or loan award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

Deadlines: None.

Range of Approval/Disapproval Time: 30 to 90 days.

Appeals: If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision from the Administrator of FmHA.

Renewals: Not applicable.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: Funds are allocated to states based upon rural population and income; No requirement for matching funds.

Length and Time Phasing of Assistance: A time limitation is not specified for the use of FmHA loan or grant funds; however, it is anticipated that such funds will not be awarded until it has been determined that all FmHA requirements can be met and the project can be completed on a timely basis. Advances of funds will be made only as needed to cover expenses for a 30-day period.

POST ASSISTANCE REQUIREMENTS:

Reports: Quarterly and annual progress reports are to be made to the FmHA county supervisor.

Audits: Biennial audits are required when the annual gross facility income exceeds $100,000, or in accordance with state statutes or regulations.

Records: Records and accounts are required to reflect the operations of the project.

FINANCIAL INFORMATION:

Account Identification: (Loans) 12-4155-0-3-452; (Grants) 12-2066-0-1-451.

Obligations: (Loans) FY 76 $442,641,834; TQ $144,857,083; FY 77 est $600,000,000; and FY 78 est $600,000,000. (Grants) FY 76 $146,888,060; TQ $76,894,100; FY 77 est $266,751,867; and FY 78 est $200,000,000.

Range and Average of Financial Assistance: (Loans) $50,000 to $20,000,000; $360,000; (Grants) $5,000 to $1,000,000; $200,000.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1976, 1,245 loans and 674 grants were made. Approximately 1,600 loans and 1,160 grants will be made in fiscal year 1977. It is estimated that 1,519 loans will be made in fiscal year 1978.

REGULATIONS, GUIDELINES, AND LITERATURE: 7 CFR 1823 (Loans)-Section 1823.1 thru 1823.48, (Grants) 1823.471 thru 1823.477; Community Facility Loans, PA-1100.

INFORMATION CONTACTS:

Regional or Local Office: Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in the appendix.

Headquarters Office: Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250, Telephone: (202) 447-7967.

RELATED PROGRAMS: 13.229, Indian Health Services-Sanitation Management Development Program; 66.418, Construction Grants for Wastewater Treatment Works.

Keeping Up With Congress

Rural communities and organizations wishing to plan in advance for their community and economic development efforts may find the legislative process puzzling. However, those most successful in obtaining federal assistance have tended to be well informed about new programs and available funding for existing programs.

Federal programs are authorized by specific legislative acts which specify the general aim and conduct of a given program as well as the maximum level of funding over a particular time period. Authorizing legislation is acted upon by standing legislative committees having jurisdiction over broad areas of legislative interest. An authorization bill must pass both houses of Congress and be signed by the President before it becomes law.

Appropriation bills establish the level of funding for programs that have already been authorized. Appropriation bills are acted upon by appropriation committees in the House of Representatives and the Senate, usually in that order, and must also pass both bodies and be signed by the President. Appropriation bills cannot increase the level of funding at which a program has been authorized but can reduce that level. For instance, Section 111 of the Rural Development Act of 1972 authorized grants of up to $10 million annually for planning for rural development, but not until fiscal year 1978 have funds been appropriated for that purpose, and now only at a level of $5 million.

In summary, new programs are established and existing programs are renewed or revamped through authorizing legislation; the level of funding for such programs is determined through the appropriations process.

A number of guides exist which go into much greater detail about the legislative process as well as the new Congressional budget process which impacts upon both authorization and appropriation bills. It is recommended that those unfamiliar with the basic process write their U.S. Representative for suggested reading in this field; contact Representative _____, U.S. House of Representatives, Washington, D.C. 20515.

For those interested in keeping abreast of the status of legislation and current developments in Congress, the Congressional Quarterly is the most authoritative source. It is published weekly and can be found in many public and educational libraries.

A variety of public interest organizations publish newsletters that report on legislative developments in particular fields of interest. A number of publications with a rural focus are listed in the National Rural Center's Directory of Rural Organizations (single copies available without charge). Some publications that track a broad range of legislation of interest to rural areas include:

County News, weekly, $15.00/year, from the National Association of Counties, 1735 New York Avenue, N.W., Washington, D.C. 20006.

Federal Resources Bulletin, bimonthly, free, from the Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, D.C. 20235.

Federal Programs Monitor, monthly, $10.00/year, from the Center for Community Change, 1000 Wisconsin Avenue, N.W., Washington, D.C. 20007.

Washington Memorandum, monthly, $3.50/year, from National Catholic Rural Life Conference, 3801 Grand Avenue, Des Moines, Iowa 50312.

National Community Reporter, monthly, $15.00/year from the National Association of Towns and Townships, 1800 M Street, N.W., Washington, D.C. 20036.

Rural America, monthly, $10.00/year, from Rural America, 1346 Connecticut Avenue, N.W., Washington, D.C. 20036.

Since the subject areas and perspectives of these publications vary, it is recommended that a sample copy of a publication of interest be requested prior to subscribing.

Regulations

Once legislation is enacted, the federal agency responsible for administering the programs established by the legislation must issue public regulations relating how the intent of Congress will be carried out by the responsible agency. Regulations determine application or reporting procedures, set standards for the fulfillment of national goals, and establish financial management practices. President Carter has criticized them as being "too often written in obscure and confusing language" and has ordered that new and existing regulations be simplified.

Regulations appear in the Federal Register which is published every weekday. The Federal Register includes Presidential proclamations and Executive orders and other documents of public interest, as well as Federal program rules and regulations. While reading the Federal Register is rarely an exciting experience, important information is contained in it relating to requests for proposals, application deadlines, guidelines, and funding criteria. It can be found in most public libraries or ordered on a monthly basis for $5.00 or on a yearly basis for $50.00 from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

Under the Catalog's entry of "Regulations, Guidelines, and Literature", reference is often made to a mysterious "CFR". This stands for the Code of Federal Regulations, which is a codification of general and permanent regulations of the various federal agencies. It is divided into fifty titles representing broad categories subject to regulatory action. The number preceding

"CFR" is the title or volume. The Code is obviously not as current as the Federal Register but should be helpful in determining the guidelines under which assistance should be sought. Both the Code and The Federal Register are explained more fully in a handbook that is available from the Superintendent of Documents, entitled The Federal Register: What It Is and How To Use It.

Another important source regarding regulations and other relevant information about federal programs is the federal agency responsible for administering a given program. The information office is listed in the Catalog of Federal Domestic Assistance under the entry, "Information Contacts". This office may be able to provide reprints of regulations from the Federal Register or the Code of Federal Regulations as well as the material listed in the Catalog entry, "Regulations, Guidelines and Literature".

Information Contacts

This federal information office should also be able to clarify questions relating to types of assistance provided, duration of the assistance, program changes, applicant eligibility, restrictions, application procedures and deadlines, current and projected levels of funding, and the likelihood of receiving financial assistance this fiscal year (October 1st to September 30th). Since federal funds are usually allocated either regionally or by state, it is important to find out the allocation for your state or region. If the information provided is inadequate, keep probing or ask to speak to someone else within the agency. Some federal agencies seek to widely publicize information regarding available financial assistance, and some publish newsletters about their programs at minimal or no cost. Some of these newsletters include:

Appalachia, (bimonthly), Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, D.C. 20235.

EPA Journal, (10/yr.) $10 per year, Editor (A-107), Environmental Protection Agency, 401 M Street, S.W., Washington, D.C. 20460.

ETA Interchange (monthly), Employment and Training Administration, U.S. Department of Labor, 601 D Street, N.W., Room 10410, Washington, D.C. 20213.

HUD Newsletter (weekly) $12.50 per year, Publications and Information Division, Office of the Assistant Secretary for Administration, U.S. Department of Housing and Urban Development, 20410.

Development U.S.A. (monthly) Economic Development Administration, Office of Public Affairs, Room 7019, Main Commerce Building, Washington, D.C. 20230.

Energy Insider, (biweekly), U.S. Department of Energy, Editorial Services Division, Office of Public Affairs, Room 7203, Washington, D.C. 20535.

For Your Information/Farmers Home Administration, (periodic), Information Staff, FmHA, U.S. Department of Agriculture, Washington, D.C. 20202.

HEW News, (periodic), Office of Education, Department of Health, Education and Welfare, Washington, D.C. 20202.

Health Resources News, (monthly) Health Resources Administration, Public Health Service, U.S. Department of Health, Education, and Welfare, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782.

Other helpers include federal program monitors from private associations or organizations, Congressional assistants, community leaders, and staffs of multicounty planning bodies. You can create your own "memory bank" by keeping a current filing system of such helpers. Write down the name, organization, address, phone number and area of expertise of the person providing assistance and file that information under the appropriate subject category for easy reference.

APPLYING FOR FEDERAL ASSISTANCE

Some Considerations

Once a federal program has been identified as potentially beneficial to the particular needs of your community, some very important determinations should be made regarding whether or not a formal application should be submitted. Most federal grant programs have a matching requirement that can usually be met by either cash or in-kind expenses. It is possible to meet the nonfederal share through contributions from the state or local government, regional commission, foundation, or some other private sector source. However, unless an obligation has been made from some outside source, the ability to meet the matching requirement is an important consideration.

Guidelines for determining the value of in-kind expenses are set forth for local governments in Federal Management Circular 74-7 and for nonprofit organizations in Circular A-110. Here again, if the use of volunteers, space, equipment, and other in-kind expenses do not cover much of the matching requirement, then the grant may become unaffordable. Since matching requirements vary from program to program, you should check to make sure that no other program offers similar assistance with more desirable terms. For instance, the Environmental Protection Agency will finance up to 85% of sewer project costs, the Farmers Home Administration's sewer grants finance up to 75%, and HUD Community Development Block Grants have a 100% federal share. Information on matching requirements will be found under the Catalog entry, "Assistance Considerations".

Another important consideration is whether or not the capability exists to meet what are likely to be rather stringent accounting and reporting requirements once the grant is obtained. Insight into these requirements can be obtained for local governments from Federal Management Circular 74-7 and for nonprofit organizations from Circular A-110. The Catalog entry "Post Assistance Requirements" will also help identify potential financial and program reporting requirements for a given program. The Support Center, 1424 16th Street, N.W., Suite 201, Washington,D.C. 20036, has an excellent introductory guide to accounting, budgeting, and tax planning for Community groups entitled, You Don't Know What You Got Until You Lose It.

A number of communities and groups have experienced delays in receiving federal grant payments, and thus, are burdened by cash flow problems in meeting payrolls, purchasing equipment, and providing services. Potential grantees should attempt to identify possible cash flow problems in relationship to the total resource base.

Some communities and groups are so eager to obtain federal assistance that they will twist their goals and priorities to coincide with the availability of federal money or the program requirements of a federal agency. While federal influence cannot be ignored, an equilibrium should be sought between local and national priorities.

Preapplication

As stated earlier one of the major emphases of the New Federalism period was to promote intergovernmental coordination and to reduce fragmentation among federal assistance programs. To help accomplish these goals the A-95 clearinghouse review process was established, which among other things, provides governors and state and local officials an opportunity to influence federal decisions regarding the distribution of federal dollars in their jurisdictions. An expanding number of federal assistance programs are subject to the A-95 review process, including most economic development programs. Appendix I at the back of the Catalog of Federal Domestic Assistance provides a ready reference of such programs.

The basic thrust of the A-95 process as it relates to local communities and groups is the review of applications for federal assistance by state and local governments and quasi-public agencies to assess the relationship of these proposals to state, areawide, and local plans. The first step is to submit a "notification of intent" to A-95 clearinghouses (both state and areawide) providing a summary of the proposal or the proposal itself if it has already been written. The clearinghouse will have an opportunity to review and comment on it, and if problems are cited, these can be discussed and negotiated. Adverse comments by clearinghouses do not constitute a veto, but may have an adverse impact on the federal review of the proposal.

Experiences with the review process vary greatly according to the area or state, as well as the nature of the project for which assistance is being sought. It would be a good idea to establish rapport with members of both the areawide and state clearinghouses. The state planning office in your state should be able to direct you to both the state and areawide A-95 clearinghouses, and also, the Federal Register periodically publishes an A-95 clearinghouse directory.

Deeper insight into the A-95 process is provided by two guides: A-95 What It Is -- How It Works, $1.05, compiled by the Office of Management and Budget and sold by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402; and "A Guide to the A-95 Proposal Review Process," $1.00, Grantsmanship Center, 1015 West Olympic Boulevard, Los Angeles, California 90015.

Aside from the A-95 review process, a number of federal programs require environmental impact statements from the applicant. A partial list of programs requiring such a statement are listed in Appendix I of the Catalog. The federal agency administering the program can advise on how to go about meeting this requirement. Other requirements to meet national goals might include citizen participation grant requirements and civil rights compliance.

During the preapplication phase and throughout the application process, the chances of a favorable response to your application will be enhanced by support from the community and from elected officials. Community support should be sought for the simple reason that it will increase the likelihood of the project's success, whether or not federal assistance is actually received. Moreover, letters of support from local officials, state legislators and officials, and U.S. Representatives and Senators may also help influence the decision of federal agencies. Since there are likely to be some rather hectic moments during the proposal writing stage, these public relations activities should begin early on.

Other preapplication requirements for a given program will be specified in the Catalog entry, "Application and Award Process, Preapplication Coordination." In some instances this will involve submitting a preapplication to the federal agency involved to determine the likelihood of funding.

Application Procedures

While application forms vary from program to program, guidelines have been established to help standardize federal grant administration. For local governments these are established in Federal Management Circular 74-7 and for nonprofits in OMB Circular A-110. As previously mentioned these circulars set management requirements for grants to state and local governments and nonprofit entities covering such matters as standard applications, grant payments, standards for determining matching shares, financial management, reporting requirements, and recordkeeping. For copies of these circulars write: Office of Managament and Budget, Publications Office, Room G-236, 726 Jackson Place, Washington, D.C. 20503. In addition, the Grantsmanship Center has two reprints that are good introductions to Federal Management Circulars in general and grant administration standards for nonprofits in particular ("Understanding Federal Management Circulars & The New Mix of Federal Assistance", $1.00; and "Guide to New Federal Grant Administration Standards", 75¢).

Additional information regarding application forms and where to obtain them will be found in the Catalog entry, "Application and Award Process: Application Procedures".

There are a number of guides to proposal writing which cover a variety of fields and vary greatly in quality. Those promising a magical formula for obtaining federal assistance are the least likely to be of help in preparing a proposal. If you are

able to locate a similar project that has received funds from the agency under which assistance is being sought, then use that proposal as a model. Since applications tend to be rather lengthy and federal reviewers are often swamped with proposals, you should submit a one page summary of the proposal, whether or not it is required.

FEDERAL FINANCIAL ASSISTANCE PROGRAMS

Inevitably, lists of federal programs are quickly outdated, and in viewing this list keep in mind that focus is on federal grants and loans in FY 1978 (October 1, 1977 to September 30, 1978). Programs providing technical assistance will be discussed in Chapter VI.

Where appropriate, insight and information is provided for pertinent federal departments and agencies. No attempt has been made to duplicate the Catalog of Federal Domestic Assistance, and readers are strongly encouraged to use it and previously mentioned services for further reference.

I. U.S. Department of Agriculture

The Rural Development Act of 1972 gave the U.S. Department of Agriculture (USDA) principal responsibility for coordinating rural development, and programs authorized by the Act are administered almost exclusively by it. Despite the fact that only about twenty percent of federal resources available to nonmetropolitan areas are administered by USDA, it is the only federal department that many rural leaders are familiar with since many of its offices are located at the local level.

The department administers a broad array of programs to help improve and maintain farm income, to improve nutrition, to help preserve natural resources, and to promote rural development. Federal programs listed below are primarily nonfarm development programs. This is not to deny the importance of agriculture to local rural economies, but since many of the agricultural programs are oriented toward individuals engaged in agricultural production and are quite numerous, these programs will not be dealt with in this context. Consult the Catalog for information on agricultural programs. Also, the American Bankers Association's Agricultural Bankers Division has published a booklet entitled, Agricultural Lending: Sources of Funds, available from ABA at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Since USDA programs are generally administered at the local level, you should consult your local telephone directory for the agency office in your county, or if unlisted get in touch with the appropriate State office listed in Appendix IV of the Catalog.

A. Agricultural Stabilization and Conservation Service

1. Forestry Incentives Program (10.064)

Project grants of up to 75% are available for tree planting and timber stand improvement primarily to meet demands for construction material. Eligible applicants are private individuals, groups, associations, corporations, and other legal entities which own "non-industrial" private forest lands. $13.5 million will be administered in FY 1978 by the states. Contact county ASCS office.

B. Farmers Home Administration

While its original mission was to assist family farmers, the Farmers Home Administration has programs to help individuals and communities build and improve housing, provide water and sewer facilities and other essential community facilities, and assist businesses and industries in rural areas. In FY 1977 over twenty grant and loan programs were administered totaling $7.2 billion. The program in FY 1978 is expected to expand to 11.0 billion.

Agency personnel are charged with providing counseling and supervision to applicants as well as borrowers and grantees. Since a philosophy of "lender of last resort" permeates the operating procedure of the agency, a major concern will be your ability to meet loan payments and to obtain credit in the private market for future credit needs. However, the agency also administers a number of grant programs, and you should inquire as to whether or not grant funds are available to help meet your needs.

FmHA has about 1,825 county offices serving all 50 states, Puerto Rico and the Virgin Islands. A county supervisor is in charge of each of these offices. In addition, there are district and state offices. District offices serve seven to ten counties and are being bolstered to play a more direct role in FmHA's community and economic development programs. At the state level there are program chiefs for business and industry, housing, community development, and farming under the general direction of an appointed state director. The national office develops programs, procedures, and policy and oversees the general operation of the agency. Since most county supervisors are primarily agriculturalists and since the agency administers a wide variety of programs, it is likely that district or state officials should help in processing applications for community and economic development programs. However, the county agent is the first contact and can be located in your local phone directory under U.S. Government. Application for all FmHA loans and grants are made at the county FmHA office.

1. Business and Industrial Loans (10.422)

Guaranteed and insured loans payable up to 40 years are available to public bodies, individuals, corporations, Indian tribes, or organizations operating on a profit or nonprofit basis for the purpose of financing the acquisition, construction, conversion, enlargement, repair, modernization, or pollution abatement or control, of rural and small town businesses and industries. Applicants apply for the guarantee through private lenders, who are responsible for making and servicing the loans which are at fixed or variable rates consistent with the market rate. FmHA guarantees to pay up to 90 percent of the principal and interest of the outstanding loan to the lender in case the borrower defaults. Collateral is required in addition to equity amounting to at least 10% of the loan in most cases. Repayment for land, building and permanent fixtures cannot exceed 30 years; 15 years for machinery or equipment; or the life of the machinery or equipment; or 7 years for working capital.

Priorities for funding include: saving existing jobs; enlarge, extend, or otherwise improve existing businesses and industries; create the highest number of permanent employment opportunities; and contribute to the overall economic stability of the rural area. Loans may not be used for the production of agricultural commodities. Approximately one third of all loans and one half of loan funds have been made to manufacturing firms.

The Department of Labor must certify that the proposed project will not result in the transfer of jobs or business activity from one area to another or result in an increase of goods, materials, commodities, services or facilities in an area when there is not sufficient demand if the proposed financial assistance exceeds $1 million or employment will be increased by more than 50 employees.

Insured loans go primarily to Indian tribes and corporations and similar entities. This program differs from the Small Business Administration's business loan program in that no direct loans are available; it need not be credit of last resort; there is no maximum loan amount; and there are no restrictions regarding the size of the business or industry. The FmHA Business and Industrial loan program differs from the Economic Development Administration's business assistance program in that assistance is not restricted to designated economic development districts; there is no limit regarding the maximum investment per job created or saved; and no direct loans are available. Applicants for the FmHA program must be located in a nonurbanized area of less than 50,000 population with preference going to localities under 25,000. Most loans have actually gone to communities under 5,000. Loans average about $650,000, and processing time averages about 100 days. In FY 1978 the program expanded from $350 million to $1 billion.

2. Industrial development grants (10.424)

Project grants to public bodies serving rural areas (less than 50,000 population) are available for the acquisition and development of industrial sites in rural areas. The same certification requirements from the Department of Labor of the Business and Industrial Program apply to this program. Grants average about $70,000. Appropriations for FY 1978 are $10 million.

3. Community Facility Loans (10.423)

Insured loans at 5% interest up to 40 years are available to public bodies, nonprofit corporations, special purpose districts, and Indian tribes to construct, enlarge, extend or otherwise improve community facilities providing essential services to rural residents. A variety of kinds of projects have been financed from firehouses to clinics. Priorities for funding fall in this order: public safety facilities such as fire, police, rescue and ambulance services; health care facilities such as clinics, nursing homes, and minor expansion or improvement of hospitals; public service facilities such as courthouses and community buildings; recreation facilities; and new hospitals and major expansion of existing hospitals. To date, some 70% of the funds have been loaned for health care purposes, primarily the construction and expansion of hospitals. Borrowers must be unable to obtain needed funds from other sources at reasonable rates and terms, and must be located in rural communities up to 10,000 population with preference going to those under 5,500. Appropriations for FY 1978 are $250 million.

4. Water and Sewer Loans and Grants (10.418)

Insured loans of 5% interest up to 40 years are available to public entities, Indian tribes, and nonprofit corporations for the purpose of installing, repairing, improving or expanding a rural water system and/or rural waste disposal system. For water systems this includes distribution lines, well, pumping facilities, and water filtration and treatment facilities. For wastewater treatment this includes sewer lines, treatment plants, stabilization ponds, and storm sewer facilities. Waste disposal facilities eligible for assistance include sanitary landfills, incinerators, and necessary equipment, though this is a minor part of the program. Applicants must be located in rural communities of 10,000 or under, and preference is given to communities under 5,500 with deteriorating systems. The FY 1978 ceiling is $750 million for the loan program.

Grants up to 75% are available to communities to reduce user costs for eligible grant recipients to a reasonable level. Grants are not applied for separately, but rather, in the process of applying for a loan, a grant will be considered when the debt service portion of the cost to the users exceeds a certain percentage of the median income for the area. In FY 1976 the average

loan for the water project was about $390,000 and grant about $235,000; average sewer loans were about $550,000 and grants about $330,000. FY 1978 appropriations are $250 million.

Be certain to ask your county FmHA supervisor if grant funds are available, and if you qualify and for how much. Be sure to also inquire as to how other federal or state programs can be used in conjunction with this program. For instance, the Environmental Protection Agency, the Economic Development Administration, and the Department of Housing and Urban Development provide assistance for wastewater treatment.

5. Recreation Facility Loans (10.413)

Guaranteed or insured loans at 5% up to $200,000 in the case of insured loans and $300,000 for guaranteed loans, not to exceed a 40 year repayment period to farm and ranch owners or tenants to convert all or a portion of their farms or ranches to outdoor income-producing recreation enterprises. Funds may be used to develop land and water resources; repair and construct buildings; buy land, equipment, livestock and other recreation items and pay necessary operating expenses. Recreation facilities eligible for finance include: campgrounds, swimming facilities, tennis courts, vacation cottages, ponds and lakes, nature trails, and trailer parks. Intermediate-term loans up to $100,000 may be made to finance recreation equipment and operating expenses with repayment scheduled over 1 to 7 years. FY 1978 funding is $2 million.

6. Resource Conservation and Development Loans (10.414)

Insured loans up to $250,000 repayable up to 30 years to public agencies and local nonprofit corporations in recognized Resource Conservation and Development Areas for the purpose of accelerating programs of resource conservation, development, and utilization to help increase economic opportunities for local people. The project plan must first be accepted by the Soil Conservation Service, since FmHA loans help local communities meet their share of project costs. Funds may be used for water based recreation facilities, reservoirs, improvement of works of flood prevention, erosion control, irrigation, drainage of agricultural land, soil conservation, and water storage for community supply and pollution abatement.

7. Section 502 Homeownership Loan Program (10.410)

Guaranteed or insured loans to low- and moderate-income families living in rural areas (places which are rural in character and under 10,000 population or between 10,000 and 20,000 provided it is nonurban and has a serious lack of mortgage credit for low- and moderate-income families) to buy, build, repair, or relocate a home and to buy and improve building sites including

the provision of water supply and sewage disposal. Interest rates vary according to income scale, and the maximum repayment period is 33 years. FY 1978 funding for insured loans for all of the agency's housing programs is $3,379,000,000 of which not less than $2,330,000,000 shall be available for subsidized interest loans to low-income borrowers, and guaranteed loans in addition to these amounts are funded at $900,000,000. The bulk of these monies will go to the Section 502 program with $690 million going to Section 515 rural rental housing.

8. Section 504 Home Repair Program (10.417)

Direct loans at 1% interest and project grants (for the elderly) up to 100% of the total cost are available to low-income homeowners or leaseholders to repair or improve their dwelling in order to make it safe and sanitary. Repair loans and grants may be used to remove health hazards by repairing roofs, improving water and waste disposal systems, and installing windows, screens or insulation. Very low-income families can receive up to $5,000 in a loan and/or grant repayable up to 20 years depending on the amount. Families with somewhat higher incomes can borrow up to $7,000 but must bring them up to minimum property standards. In grants for FY 1978 $5 million is available with an additional $4 million available in supplemental funds for use primarily for weatherization purposes.

9. Section 514/516 Farm Labor Housing Loans and Grants (10.405)

Grants up to 90% of project costs and loans at one percent interest payable over a 33-year period are available to farmers and associations of farmers, states, political subdivisions of states, broad-based nonprofit organizations and nonprofit corporations of farm workers to construct, repair, or purchase housing. Funds may be used for land purchase and improvements and developing related facilities. FY 1978 appropriations are $7.5 million for grants, and the FY 1978 ceiling on farm labor housing loans is $10 million.

10. Section 515/521 Rural Rental and Cooperative Housing Loans (10.415)

Insured loans at varying interest rates and terms are available to individuals, cooperatives, nonprofit organizations, and public agencies to construct, purchase, improve, or repair rental or cooperative housing. Funds may also be used to provide recreational and service facilities in connection with the housing and for land purchase and improvements. Loans may not exceed $1.5 million without approval from the national office. Under this program the agency also administers a particular set-aside of the HUD Section 8 rent subsidy program so that in some

instances assistance from both programs can be obtained through FmHA. In addition, the agency has recently begun a rental assistance program outside of the Section 8 process in which the rents of tenants who pay more than 25% of their adjusted income may be eligible for a rent supplement, as is also true with the Farm Labor Housing Program. FY 1978 funds available for rental assistance are $228 million, and $690 million is available in loans.

11. Section 523 Self-Help Technical Assistance Grants (10.420)

Grants are available to public bodies or private or public nonprofit corporations to provide supervisory assistance to help low-income families build homes in rural areas by the self-help method. Funds may be used to employ technical and supervisory personnel and to pay administrative expenses. Assistance may not exceed $100,000 or 2 years. FY 1978 funding is $17 million.

12. Section 523/524 Rural Housing Site Loans (10.411)

Direct, insured, or guaranteed loans are available to public or private nonprofit organizations to provide adequate sites for housing in rural areas. Loans may be used to buy and develop building sites, including constructing essential access roads, utilities, and payment of fees and administrative expenses.

13. Rural Development Planning Grants

Project grants are available to units of general local government, substate district organizations, areawide comprehensive planning agencies, regional and local planning commissions, State governments, Federally or State recognized Indian Tribes or Nations, and public, quasi-public, or private nonprofit organizations to develop comprehensive planning for rural development, especially as such planning affects the unemployed, the underemployed, those with low family incomes, and minorities. The objectives of the program are to make possible the development of comprehensive planning processes for rural areas; enable rural areas which already have plans to revise them and/or fill critical gaps when this is needed to insure an integrated, usable package; and support the development of an aspect or aspects of a comprehensive planning process, provided this will make it possible to put the plan into action. Planning projects may include but need not be limited to, the addressing of rural planning needs in the areas of housing, energy management, community facilities, health, transportation, education, recreation, resource conservation, and the development and/or preservation of land for residential, agricultural, commercial, and industrial uses. The federal share will not exceed 75%. FY 1978 funding is $5 million.

14. Indian Land Acquisition Loans (10.421)

Insured loans at 5% interest repayable up to 40 years are available to Indian tribes and tribal corporations in the purchasing of land or interest in land within tribal reservations and Alaskan communities.

C. Forest Service

The Forest Service's mission is to manage the National Forest System; cooperate with State foresters, owners of private forest lands, wood processors, and private and public agencies; and engage in research to insure "sustained yields of water, forage, wildlife, wood and recreation". For information on advisory and technical assistance available, see Chapter VI.

1. Rural Community Fire Protection Grants (10.622)

Rural communities under 10,000 population are eligible for assistance from State Forestry agencies for the purpose of organizing fire protection districts, training firemen in wildland and structural fire suppression and fire prevention activities, and fire equipment. State Foresters are eligible for federal project grants who, in turn, provide financial and/or technical assistance in training, organizing and equipping local fire fighting forces. Contact your State Forester for information on the program in your state. Federal funds available for FY 1978 are $3.5 million.

D. Rural Electrification Administration

The Rural Electrification Administration finances electric and telephone facilities in rural areas. For information on these programs contact, Information Services Division, Rural Electrification Administration, Department of Agriculture, Washington, D.C. 20250.

1. Home Weatherizing Loans Through Rural Electric Cooperatives

Loans up to $1,500 repayable up to 5 years are available to member-consumers of rural electric co-ops and residents of areas eligible for FmHA rural housing loans of moderate income (determined by FmHA, currently no more than $15,600 per family) to help conserve fuel and energy by weatherproofing homes. Rural electric co-ops financed by the Rural Electrification Administration process applications from homeowners, refer applicants to qualified contractors, pay contractors after satisfactory work is completed, and stretch out payments on homeowners' electric bills in monthly installments up to a 5 year period.

E. Soil Conservation Service

1. Resource Conservation and Development (10.901)

Project grants are available to public agencies and non-profit organizations to initiate and carry out long-range programs of resource conservation and development. Only Resource Conservation and Development areas are eligible for assistance. Contact field or state office of the Soil Conservation Service, and for local match loans contact the local FmHA office (See B.6). FY 1978 appropriations are $31 million.

II. Department of Commerce

The Department of Commerce administers a wide range of programs promoting economic development and technological advancement. Secretary Juanita Kreps has proclaimed that economic development is her number one priority, and thus, the Economic Development Administration, which has traditionally been the weak sister within the Department, is apt to play an increasingly important role in coming years.

Although not discussed in this guide, the Bureau of the Census provides valuable information on population, income, housing and other social characteristics often necessary in completing applications for federal assistance. In addition, the Bureau conducts special censuses at the request and expense of State and local governments. For further information, contact the Public Information Office, Bureau of the Census, Department of Commerce, Washington, D.C. 20233.

A. Economic Development Administration (EDA)

Established by the Public Works and Economic Development Act of 1965 as one of the major programs of President Johnson's War on Poverty, the Economic Development Administration's central mission has been to provide leverage for private investment to create permanent jobs in lagging areas of chronic unemployment and underemployment. To accomplish this goal, EDA has targeted much of its financial assistance to designated multicounty economic development districts. Such districts must include at least one county that is a designated Redevelopment Area and an economic development center (growth center) in a city of not more than 250,000. "Special Impact Areas" selected for assistance under Title VII of the Community Services Act of 1974 (P.L. 93-644) are automatically eligible for FDA public works and business loan assistance.

EDA's responsibilities have greatly increased recently in administering the first and second rounds of the Local Public Works economic stimulus program. EDA came under criticism from small communities in the administration of this program for

bypassing them due to a lack of verifiable unemployment statistics. Moreover, while EDA has traditionally been considered a rural economic development agency, it is currently expanding its urban focus.

Rural community leaders should seek to establish communication links with EDA regional offices and your state Economic Development Representative in order to keep current on the agency's directions and to discuss rural economic problems and strategies with EDA staff. You should contact your regional office for further information on the following programs.

Most EDA programs require some planning prior to application approval. The structure through which this planning is done at the local level is through a Redevelopment or Economic Development District Committee. This Committee is charged with the responsibility of drafting an Overall Economic Development Plan. You may wish to become acquainted with members of the committee in your area or seek representation on the committee itself.

Recently, an office of Special Projects was established to give greater attention to the development and use of nongovernmental community-based economic development organizations. In FY 1978 this Office will help target $30 million of EDA's resources to urban and rural community groups. There is a representative of this office in each of the regional offices.

The economic development district organization in your area may be able to provide you with planning assistance. These organizations are supported in part by EDA assistance and may be able to provide you with additional insight into EDA programs. In addition, the organization may have responsibility for coordinating the A-95 clearinghouse review process in your area, and it would be useful to keep in touch.

Additional information on EDA programs can be obtained from the Office of Public Affairs, Economic Development Administration, Department of Commerce, Washington, D.C. 20230. Ask for a set of their program brochures and any other relevant information on the agency or its programs. In addition, a Citizen's Action Guide to the Economic Development Administration (February, 1976) is published by the Center for Community Change. The Center monitors EDA legislation and programs and will provide information to community-based organizations. Contact: Center for Community Change, 1000 Wisconsin Avenue, N.W., Washington, D.C. 20007.

A list of EDA regional offices follows:

Rocky Mountain
Suite 505, Title Bldg., 909 17th St.
Denver, CO 80202
(303)837-4717

Southeastern:
Suite 700
1365 Peachtree St., N.E.
Atlanta, GA 30309
(404)881-7401

Midwestern:
Civic Towers Bldg.
32 West Randolph St.
Chicago, IL 60601
(312)353-7706

Atlantic:
10424 Federal Bldg.
600 Arch Street
Philadelphia, PA 19106
(215)597-4603

Southwestern:
Suite 600, American Bank Tower
221 West Sixth St.
Austin, TX 78701
(512)397-5461

Western:
1700 Westlake Ave., North, Suite 500
Seattle, WA 98109
(206)442-0596

1. Public Works and Development Facilities Program (11.300)

Grants up to 50% of project cost and direct loans of low interest repayable up to 40 years are available to states, local subdivisions thereof, Indian tribes, and private or public nonprofit organizations to assist in the construction of public facilities needed to initiate and encourage long-term economic growth. Assistance is available for facilities that will help the establishment or expansion of industrial or commercial plants or facilities such as water and sewer systems, access roads and site improvements for industrial parks, port facilities, vocational schools, etc. Projects must benefit the long-term unemployed economic development program for the area, and be located in a designated redevelopment area, growth center, or economic development district. Severely depressed areas may receive supplementary grants in 10% increments up to 80% of costs; or 40 years bearing an interest rate determined by the Secretary of the Treasury. Reasonable evidence of the ability to repay the loan and to raise the local share of the project cost must be shown, as well as evidence that funds cannot be obtained from private lenders or other federal agencies. FY 1978 appropriations are $181.5 million for grants and $2.5 million for loans.

2. Public Works Impact Projects (11.304)

Project grants at a basic rate of 80% of project cost are available to states and their local subdivisions, Indian tribes, and private or public nonprofit organizations to provide immediate useful work to unemployed and underemployed persons. Public facilities that will help create immediate jobs in the course of their creation fall under this program. Grants up to 100% may be awarded to eligible Indian areas and to applicants that can demonstrate that effective taxing and borrowing capacities have been exhausted. FY 1978 funding is $27.2 million, and approximately $20 million of this sum will be related to energy conservation.

3. Business Development Assistance (11.301)

Direct loans at moderate interest rates up to 25 years are available to individuals, private or public corporations, or Indian tribes seeking to expand or locate industrial or commercial facilities in areas of high unemployment or low family income. Direct loans are provided for land acquisition and development, the purchase or construction of buildings, and for the purchase and installation of machinery and equipment. About 25 direct loans are made per year. Direct working capital loans are available for up to five years, and about ten loans are made per year. In addition, guarantees up to 90% of the unpaid balance of commercial loans for either fixed assets or working capital are available. About 20 working capital loans are guaranteed per year and about 10 fixed asset loans per year. A smaller aspect of the guarantee program is a lease guarantee for buildings and equipment.

EDA requires at least 15% of the cost of a project's fixed assets be provided as equity or as a loan subordinated EDA's loan and that at least one-third of the equity or loan participation be provided by the community. Loans may not be made if private lending sources are available or if the project falls within the scope of the programs of the Small Business Administration or Farmers Home Administration. Loans may not be made which would result in the creation of excess capacity in any industry. Loans may not be made in areas lacking an approved Overall Economic Development Plan, and businesses or business expansion must be of substantial benefit to an EDA-designated redevelopment area. FY 1978 appropriations are $54 million.

4. Support for Planning Organizations (11.302)

Project grants up to 75% to redevelopment areas, or multicounty areas, labor markets, or Indian reservations which include at least one redevelopment area for the purpose of encouraging multicounty cooperation in planning and development for the purpose of building solid economic bases in economically lagging

communities and those hit by dislocation. Indian tribes may be eligible for a 100% grant. FY 1978 funding level for all of EDA's planning programs is $22 million with approximately $10 million slated for multicounty planning organizations.

5. Technical Assistance (11.103)

Project grants and contracts of up to 75% are available to private nonprofit groups or states, municipalities or counties, or entities thereof, located in economically depressed areas of the country to assist in dealing with impediments to economic progress. Financial assistance is provided directly to applicants responsible for employing personnel, hiring consultants, and planning and administering the program. Applicants need not be located in designated areas to receive assistance. Assistance is occasionally provided to small businesses, but this must be repaid. FY 1978 appropriations are $17.4 million.

6. Special Economic Development and Adjustment Assistance (11.307)

Project grants of up to 75% to redevelopment areas, economic development districts, Indian tribes, state or local governments, a consortium of local governments, or private or public nonprofit organizations to help meet special needs arising from actual or threatened unemployment from economic dislocations involving structural changes in their economy. Implementation grants may be used for: public facilities, public services, business development, planning, unemployment compensation, rent supplements, mortgage supplements, mortgage payment assistance, training, relocation of displaced workers, or other related activities. Tools available to applicants through other federal programs - such as unemployment compensation - will receive low priority. The program is more flexible than other EDA programs and can be used to alleviate distress in any part of the country. Under special conditions the 25% local match share may be waived. FY 1978 appropriations are $78 million.

7. Trade Adjustment Assistance (11.309)

Direct loans and guaranteed/insured loans repayable up to 25 years are available to firms demonstrating that increased imports are adversely impacting it for the purpose of facilitating an orderly transfer of resources to alternative uses and to help in making an adjustment to new conditions of competition. In addition, communities with one or more firms seriously damaged by import competition may also apply for trade adjustment assistance, but to date only two communities have received such assistance. Interest rates for direct loans are determined quarterly by the Treasury and Commerce Department, and presently, it is set at 9.125% and cannot exceed $1 million. Interest rates for guaranteed loans are presently set at 9.5% with a limit of $3 million. Funding for this program is drawn from other programs.

8. Grants to States for Supplemental and Basic Funding - Section 304 (11.307)

Apportionment of funds to the States are made to help them carry out EDA-type projects in areas with problems of high unemployment. Section 304 apportionments may be used by the States to supplement or provide "first dollar" funds for projects in local communities. States are required to contribute at least 25 percent of the cost of projects carried out with Section 304 funds. For further information, contact your state department of economic development or the Office of the Governor. FY 1978 funding is $20 million.

B. Office of Minority Business Enterprise (OMBE)

This office coordinates the efforts of the federal government toward establishing, preserving, and strengthening minority businesses. It disseminates information on successful minority enterprise programs, conducts demonstration programs, and renders technical and management assistance to minority businesses. For information, contact the OMBE Information Center, Department of Commerce, Washington, D.C. 20230.

1. Minority Business Enterprise - Coordination, Management and Technical Assistance (11.800)

Project grants up to 75% are available to state and local government agencies and nonprofit groups developing and operating comprehensive minority business enterprise programs for the purpose of promoting and assisting the expansion of minority enterprise. Project grants cannot be used to finance a business venture. Unsolicited applications are not encouraged. In addition, technical and management assistance is available at no cost and includes all forms of counsel, as well as guidance and advice on the establishment and operation of minority business, such as inventory control, legal affairs, financial management and site location. FY 1978 funding for all OMBE programs is $50.3 million. For further information, contact your regional office, or the OMBE Information Center at the aforementioned address.

C. Title V Multistate Regional Commissions

Regional development was boosted in 1965 by the passage of the Appalachian Regional Development Act and the Public Works and Economic Development Act. The Appalachian Regional Commission was established by the Appalachian Act, and Title V Regional Commissions were established by the latter Act.

The Appalachian Regional Commission is a federal-state agency involving the Appalachian areas of 13 states. It seeks to enhance the area's economic, physical, and social development. The Commission has concentrated on areas of development in which

there remain great needs, including community development, housing, education, the environment, health and child development, industrial development and management, tourism and transportation.

The Secretary of Commerce has authority to designate at the request of governors multistate regions containing common problems of economic distress or lag that extend beyond the capability of any one state to solve. Regional commissions have been established for the Ozarks (134 counties in Arkansas, Oklahoma, Missouri, and Kansas); the Four Corners (92 counties in New Mexico, Utah, Arizona, and Colorado); New England (all six states in the region); the Coastal Plains (159 tidewater counties in Georgia, Florida, the Carolinas, and Virginia); the Upper Great Lakes (119 counties in northern Minnesota, Wisconsin, and Michigan); the Old West (the states of South Dakota, North Dakota, Nebraska, Wyoming and Montana), and the Pacific Northwest (the states of Oregon, Washington, and Idaho). The total amount of funds available in FY 1978 for these commissions is $64.6 million, including $2.036 million for start-up funding of two regional commissions. The Southwest Border Commission has been initially funded with these monies covering border counties in California, Arizona, New Mexico, and Texas.

Since the Appalachian Regional Commission is an independent agency falling outside the jurisdiction of the Department of Commerce, it will be discussed later in this chapter along with other independent agencies. With the exceptions of the Pacific Northwest and the Southwest Border Commissions, each of the Title V Commissions administer two basic programs: technical and planning assistance and supplements to federal grants-in-aid. The Southwest Border Commission is basically at an embryonic state, and the Pacific Northwest Commission does not have a grant supplement program. These basic programs will be discussed below. Contacts for the various programs are:

Coastal Plains Regional Commission
215 Bay Street
Charleston, South Carolina 29401
(803) 723-5326

New England Regional Commission
Suite 400
53 State Street
Boston, Massachusetts 02109
(617) 223-6045

Ozarks Regional Commission
1100 North University Avenue, Suite 109
Little Rock, Arkansas 72201
(501) 378-5905

Upper Great Lakes Regional Commission
504 Christie Building
120 North Fourth Avenue, West
Duluth, Minnesota 55802
(218) 727-6692

Four Corners Regional Commission
238 Petroleum Plaza Building
Farmington, New Mexico 87401
(505) 327-9626

Old West Regional Commission
Hedden-Empire Building, Suite 228
Billings, Montana 59101
(406) 567-6665

Pacific Northwest Regional Commission
1205 Washington Street
Vancouver, Washington 98660
(206) 696-2581

Southwest Border Regional Commission
100 North Stone Avenue, Suite 309
Tuscon, Arizona 85726
(602) 792-6781

1. Technical and Planning Assistance

Project grants and contracts up to 100% are available to states in the region, alone or with another member state, as well as any political subdivisions of the states, and agencies of state and local governments to evaluate the needs and develop the potentialities for economic growth of the region through planning, investigations, studies, demonstration projects, and training programs. Each commission has its own emphases. Coastal Plains emphasizes a broad range of activities in planning and development related to marine resources, tourism, agriculture and forestry and environmental affairs. New England concentrates in the priority areas of energy; human resources, particularly vocational education and training facilities; industrial development and international trade; development of marine and natural resources; agriculture and forestry; recreation and tourism; and transportation. The Four Corners stresses human resources, particularly manpower training keyed to resource development and referring and relocating trained workers to resource development taking place in the Region; natural resources, especially alternate energy sources, improved water management, and aids to energy impacted communities; agriculture and forestry; and government services, particularly in helping communities with serious water and waste disposal problems. The Old West focuses on human resources, particularly start-up efforts for primary health care operations;

outdoor recreation; industrial development; agriculture; and government services, particularly to communities adjusting to special economic conditions. The Ozarks concentrates on human resources, particularly construction of technical education centers and health demonstrations; industrial development and international trade; and government services. The Pacific Northwest stresses natural resources, particularly water resources, fisheries, and energy and agriculture and forestry. The Upper Great Lakes centers on human resources and industrial development.

2. Supplements to Federal Grant-in-Aid

Project grants to states and other entities within a region to take maximum advantage of federal grant-in-aid programs for the construction or equipping of facilities or the acquisition of land. Supplements provide a portion of the local share of federal grant when the community, because of its economic situation, cannot supply the matching share. When in a fiscal year the basic grant agency has expended all its program funds and certifies that the proposed project could be approved if funds were available, the commission may provide all or any portion of the basic federal contribution. Total federal assistance cannot exceed 80 percent of eligible project costs.

III. Department of Health, Education and Welfare (HEW)

There are a number of local services supported by the Department of Health, Education and Welfare which relate either directly or indirectly to rural development. The interrelationship between improved education, health care, income maintenance, human development services, and transportation has been well documented. These in turn provide greater access to economic opportunity in rural areas. It is beyond the scope of this section to describe HEW programs which support these kinds of services. Instead, only those programs which support the construction, renovation, or expansion of community facilities will be described.

HEW has the largest budget of any federal agency. It is such a mammoth department that its scope and structure are not easy to grasp. The former Office of Rural Development within HEW sought to help coordinate and improve the delivery of human services to rural areas. In a 1976 manual entitled Getting Human Services to People in Rural America, the Office of Rural Development reported, "...it is evident that one major barrier is the lack of recognition by HEW staff that getting services to people in rural areas is different in important respects from

delivery in urban areas." Despite this urban orientation, however, HEW may prove to be an important resource in furthering your community's rural development goals. The National Rural Center has program specialists in the fields of health and education and also monitors federal programs in the fields of welfare and transportation. For further information on these activities contact the National Rural Center's Information Clearinghouse.

Contact your regional office listed below for information on the following:

Region 1
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203
(617) 223-6830

Region 2
26 Federal Plaza, Rm. 3838
New York, NY 10007
(212) 264-4485

Region 3
P.O. Box 13716
3535 Market St.
Philadelphia, PA 19101
(215) 596-6421

Region 4
50 Seventh St., N.E.
Atlanta, GA 30323
(404) 285-3524

Region 5
300 South Wacker Drive
Chicago, IL 60606
(312) 353-6791

Region 6
Main Tower Bldg.
Dallas, TX 75202
(214) 655-3258

Region 7
601 East 12th St.
Kansas City, MO 64106
(816) 374-3436

Region 8
Federal Office Bldg.
1961 Stout St.
Denver, CO 80202
(303) 837-2831

Region 9
Federal Office Bldg.
United Nations Plaza
San Francisco, CA 94102
(415) 556-6746

Region 10
Arcade Plaza Bldg.
1321 Second Ave.
Seattle, WA 98101
(206) 442-0420

A. Public Health Service

The Public Health Service seeks to stimulate and assist states and communities with the development of local health resources; to assist with improvement of the delivery of health services; to conduct and support research in the medical and related sciences; to protect the health of Americans against health hazards; and to provide leadership for the prevention and control of communicable disease and other public health functions.

1. Community Health Centers (13.224)

Project grants to states and local governments, and public or nonprofit groups to help develop and operate community health centers which provide primary health services, supplemental health services and environmental health services to medically underserved populations. Services must be provided in accordance with state comprehensive health plans. Priority will be given to proposals which are designed to improve the accessibility and organization of health care within medically underserved communities. Funds may be used for acquiring and modernizing existing buildings including the costs of amortizing the principal of and paying the interest on loans. FY 1978 appropriations are $247 million.

2. Community Mental Health Centers (13.240)

Project grants to state and political subdivisions and public or private nonprofit agencies to assist in the construction of public or other nonprofit community mental health centers, and for other purposes related to the provision of mental health services. Construction grants may be used for construction of new facilities or for acquisition, remodeling, alteration, or expansion of existing facilities. Community projects must be part of a state plan for community mental health centers. FY 1978 funding is $276.6 million.

3. Migrant Health Grants (13.246)

Project grants to public or nonprofit entities to raise the health status of migratory seasonal farmworkers and their families through the provision of comprehensive health services and the improvement of their environment. Among other things, funds may be used for the acquisition and modernization of existing buildings and for training related to the management of programs assisted through grants and contracts. FY 1978 appropriations are $34.5 million.

4. Medical Facilities Construction (13.887)

(The Health Planning and Resources Development Act of 1974 created Title XVI of the Public Health Service Act. Title XVI revised existing programs for the construction and modernization of health care facilities (including Hill-Burton) and authorized funds for health resources development.) Assistance is provided for modernization of medical facilities, construction of new outpatient medical facilities, construction of new inpatient medical facilities in areas which have experienced recent rapid population growth, and conversion of existing new health services. Assistance provided through (1) allotments to the states, (2) loan and loan guarantees, and (3) project grants to states, political subdivisions of a state, or public or quasi-public corporations for construction or modernization of projects designed

to eliminate or prevent imminent safety hazards or avoid non-compliance with state and voluntary licensure or accreditation standards. Regulations were never published and consequently, funds have not been spent under this authority. The programs are currently under review in Congress and some changes are anticipated.

B. Office of Education

1. Construction of Public Libraries (13.408)

Formula grants to state library extension agencies to help construct public libraries in areas without library service facilities. Funds are available for the construction of new buildings, additions to existing buildings, and for renovation, alteration, or acquisition of existing buildings, for use as public libraries. Initial equipment architect's fees and land acquisition are also included. No authorizations for FY 1978 through FY 1981 funding have been made. Contact the State and Public Library Services Branch, Office of Libraries and Learning Resources, Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

2. School Assistance in Federally Affected Areas - Construction (13.477)

Project grants to local educational agencies and certain public education agencies to help construct urgently needed minimum school facilities in school districts which have been impacted by new or increased Federal activities or which have been affected by a natural disaster. Emphasis is on construction of school facilities for children residing on Indian lands and on school construction on military installations. FY 1978 funding is $34.8 million.

C. Office of Human Development Services

The Office of Human Development Services helps special groups of Americans - children and youth, the aged, physically and mentally disabled persons, and Native Americans - to develop their fullest human potential. The former Office of Rural Development has been folded into the Office of State and Community Affairs.

1. Native American Programs (13.612)

Project grants of up to 80% to Indian tribes, Alaskan Native villages, regional corporations and other public or non-profit agencies for use in a wide range of programs to promote the goal of economic and social self-sufficiency for Native

Americans. Programs, based on local needs and priorities, have provided funds for community development, manpower training and employment, housing, food, medical services and management. FY 1978 funding is $33 million.

IV. Department of Housing and Urban Development (HUD)

Not surprisingly, the U.S. Department of Housing and Urban Development has a strong urban orientation, but HUD programs can be an important resource to rural communities. While HUD has historically had a rather narrow focus in funding housing programs, its role expanded significantly with the enactment of the Housing and Community Development Act of 1974. This legislation mandated that 20 percent of the community development programs go to nonmetropolitan areas. In addition, the Housing and Community Development Act of 1977 provides new opportunities for nonprofit organizations, expands funding available for nonmetro counties under 50,000 population, and expands HUD's role in economic development.

One barrier to HUD's effectiveness in rural areas has been that HUD area offices, which process most applications, tend to be located in major metropolitan areas of the state and are staffed with urban-oriented persons. At the national level HUD has been criticized for its implementation of community development block grants, public housing programs, and 701 comprehensive planning grants in rural areas.

Program descriptions in this section will not cover the numerous mortgage insurance programs for individual homebuyers but will focus on those programs which can be applied for by rural groups and localities. For information on HUD Programs not described below obtain a free copy of HUD Programs from the Director of News Services, Office of Public Affairs, Room 9245, HUD, 451 7th Street, S.W., Washington, D.C. 20410. Also, valuable information is available from the department in its official magazine and newsletter - HUD Challenge, $15.90 annually, published monthly, and HUD Newsletter, $12.50 annually, published weekly. Subscription inquiries should be made to the Superintendent of Documents, Washington, D.C. 20402. In addition, HUD's National Solar Heating and Cooling Information Center publishes a monthly newsletter in conjunction with the Energy Research and Development Administration entitled HUD Solar Status. Write: STATUS MAIL, P.O. Box 1607, Rockville, Maryland 20850.

In each of the following programs, opportunities and requirements for rural communities will be emphasized, while provisions for urban areas may be omitted. Unless otherwise stated, contact your HUD Area Office for applications and further information listed below:

Boston Area Office
Bulfinch Bldg.
15 New Chardon St.
Boston, MA 02114
(617) 223-4111

Hartford Area Office (Conn.)
999 Asylum Avenue
1 Financial Plaza
Hartford, CT 06103
(203) 244-3638

Columbus Area Office
60 East Main St.
Columbus, OH 43215
(614) 469-7345

Detroit Area Office
McNamara Federal Bldg.
Michigan Ave, 17th Flr.
Detroit, MI 48226
(313) 226-7900

Indianapolis Area Office
Willowbrook 5 Bldg.
4720 Kingsway Dr., Rm 301
Indianapolis, IN 46205
(317) 269-6303

Milwaukee Area Office
744 North 4th St.
Milwaukee, WI 53203
(414) 224-3221

Manchester Area Office
New Federal Building
Chestnut St.
Manchester, NH 03101
(603) 666-7681

Louisville Area Office
Virgil G. Kinarel
Children's Hospital Foundation Bldg.
601 South Floyd St.
P.O. Box 1044
Louisville, KY 40201

Chicago Area Office
17 N. Dearborn St.
Room 1201
Chicago, IL 60602
(312) 353-7660

Buffalo Area Office
Grant Bldg.
560 Main St.
Buffalo, NY 14202
(716) 842-3510

Camden Area Office
Robert E. Hazelwood
The Parkade Bldg.
519 Federal St.
Camden, NJ 08103

Birmingham Area Office
Daniel Bldg., 15 South 20th St.
Birmingham, AL 35233
(205) 325-3264

Columbia Area Office
1801 Main St.
Jefferson Square
Columbia, SC 29202
(803) 765-5591

Greensboro Area Office
2309 West Cone Blvd.
Northwest Plaza
Greensboro, NC 27408
(919) 275-9111

Jackson Area Office
101-C Third Floor Jackson Mall
300 Woodrow Wilson Ave., West
Jackson, MS 39213
(601) 366-2634

Pittsburgh Area Office
Two Allegheny Center
Rm. 1100
Pittsburgh, PA 15212
(412) 644-2802

Richmond Area Office
701 East Franklin St.
Richmond, VA 23219
(804) 782-2721

Atlanta Area Office (Georgia)
1100 Peachtree Center Bldg.
230 Peachtree St., N.W.
Atlanta, GA 30303
(404) 526-4576

Jacksonville Area Office
Peninsular Plaza
661 Riverside Ave.
Jacksonville, FL 32204
(904) 791-2626

Knoxville Area Office
1 Northshore Bldg.
1111 Northshore Dr.
Knoxville, TN 37919
(615) 584-8527

Minneapolis - St. Paul Area Office
Griggs-Midway Bldg.
1821 University Ave.
St. Paul, MN 55104
(612) 725-4701

Dallas Area Office
200 Bryan Tower, 4th Floor
Dallas, TX 75201
(214) 749-1601

Little Rock Area Office
Union National Bank Bldg.
One Union National Plaza
Little Rock, AR 72201
(501) 378-5401

Newark Area Office
Gateway 1 Bldg.
Raymond Plaza
Newark, NJ 07102
(201) 645-3010

New York Area Office
666 Fifth Avenue
New York, NY 10019
(212) 399-5290

New Orleans Area Office
Bruno Lohrmann
Plaza Tower
1001 Howard Ave.
New Orleans, LA 70113
(504 589-2063

Oklahoma City Area Office
Maxwell D. Harris
301 North Hudson St.
Oklahoma City, OK 73102
(405) 231-4891

San Antonio Area Office
Kallison Bldg.
410 South Main Ave.
P.O. Box 9163
San Antonio, TX 78285
(512) 229-6800

San Juan, Commonwealth Area Office
New Pan Am Bldg.
255 Ponce De Leon Ave.
Hato Rey, PR
Mailing Address: P.O. Box 3869, GPO
San Juan, PR 00936
(809) 763-6363

Baltimore Area Office
Mercantile Bank and Trust Bldg.
Two Hopkins Plaza
Baltimore, MD 21201
(301) 962-2121

District of Columbia Area Office
Universal North Bldg.
1875 Connecticut Ave., N.W.
Washington, D.C. 20009
(202) 673-5837

Philadelphia Area Office
Curtis Bldg.
625 Walnut St., Rm. 892
Philadelphia, PA 19106
(215) 597-2665

Kansas City Area Office
Two Gateway Center
4th and State St.
Kansas City, KS 66101
(816) 374-4355

Los Angeles Area Office
2500 Wilshire Blvd.
Los Angeles, CA 90057
(213) 688-5973

Omaha Area Office
Univac Bldg.
7100 West Center Rd., 3rd Fl.
Omaha, NE 68106
(402) 221-9301

San Francisco Area Office
1 Embarcadero Center
Suite 1600
San Francisco, CA 94111
(415) 556-2238

St. Louis Area Office
210 North 12th St.
St. Louis, MO 63101
(314) 622-4761

Portland Area Office
520 Southwest 6th Ave.
Portland, OR 97204
(503) 221-2561

Seattle Area Office
Arcade Plaza Building
1321 Second Ave., Stop 409
Seattle, WA 98101
(206) 442-7456

A. Community Planning and Development

1. Community Development Block Grants/Entitlement (14.218)

"Hold-harmless" grants to nonmetropolitan entities (communities under 50,000 outside of a Standard Metropolitan Statistical Area) who participated in HUD urban renewal or Model Cities programs prior to the enactment of the Housing and Urban Development Act of 1974 for the purpose of acquiring, rehabilitating, or constructing certain public works, housing rehabilitation, code enforcement and other community development activities. The nonmetropolitan share of community development block grants (20% of $3.6 billion) is first distributed to "hold-harmless" communities based on their level of prior participation in the previous categorical programs. The funds remaining go into the discretionary pot of the Small Cities Program. "Hold-harmless" grantees will lose their guaranteed funding after FY 1978.

2. Community Development Block Grants/Discretionary (14.219)

Project grants to states and units of general local government, excluding Indian tribes and Native Americans, metropolitan cities, units of government which are included in urban counties, and urban counties to address one or more of the following purposes:

- support realistic and attainable strategies for expanding low- and moderate-income housing opportunities;
- promote deconcentration of lower-income housing within housing market areas;
- promote more rational land use;
- provide increased economic opportunities for low- and moderate-income persons;
- correct deficiencies in public facilities which affect the public health or safety, especially of low- and moderate-income families.

The Housing and Community Development Act of 1977 tightens up requirements for citizen participation and requires that projects principally benefit lower and moderate income people. In addition, nonprofits, community development corporations, and minority and small business investment corporations are provided a greater role.

Within the jurisdiction of each HUD Area Office, 25 to 35 percent of the funds will be reserved for the Single Purpose Program, with the remainder reserved for the Comprehensive Program. Single purpose grants are for one or more projects designed to meet a specific community need. Preapplications are scored against the following factors:

a) Need - absolute number of poverty persons (100 points)
b) Need - percent of poverty persons (50 points)
c) Need - absolute number of substandard housing units (30 points)
d) Need - percent of substandard housing units (20 points)
e) Impact of the proposed program (200 points)
f) Benefit to low- and moderate-income persons (200 points)
g) Performance: Housing (100 points) local equal opportunity efforts (50 points)
h) Housing opportunity plan (50 points); Enhances position as a regional center (25 points); Implements State growth plan (25 points); Other Federal programs (25 points)

The Comprehensive Program must meet all of the following criteria: 1) address a substantial portion of the identifiable community development needs within a defined concentrated area; 2) involve two or more activities that bear relationship to each

other, excluding administration, planning, and management, and which either in terms of support or necessity are carried out in a coordinated manner; 3) have beneficial impact within a reasonable period of time; and 4) be developed through assessment of the applicant's community development, housing and economic needs. Funds may be committed up to three years. Proposals for the Comprehensive Program are weighted in score a)-d) the same as the Single Purpose Grants, but other criteria are scored as follows:

e) Impact of the program (400 points)
f) Benefit to low- and moderate income persons (100 points)
g) Performance: Housing (100 points) and local equal opportunity efforts (50 points)
h) Housing Opportunity Plan: applicant participating (50 points)
i) Hold-harmless phaseout communities (25 points)

FY 1978 funding level for the Small Cities Program is $700 million with $160 million going to cities of under 50,000 population within Standard Metropolitan Statistical Areas and the remainder going to metropolitan areas out-side SMSAs.

3. Community Development Block Grants for Indian Tribes and Alaskan Natives

Project grants for Indian tribes and Alaskan Natives for the development of viable Indian communities, including decent housing, a suitable living environment, and expanding opportunities, principally for persons of low and moderate income. Objectives include:

- The elimination of blight, the prevention of blighting influences and the deterioration of property and community facilities of importance to the welfare of the community, principally persons of low and moderate income.

- The elimination of conditions which are detrimental to health, safety, and public welfare, through code enforcement, demolition, interim rehabilitation assistance, and related activities.

- The conservation and expansion of the Nation's housing stock in order to provide a decent home and a suitable living environment for all persons, but principally for those of low and moderate income.

- The expansion and improvement of the quantity and quality of community services, principally for persons of low and moderate income, which are essential for sound community development and for the development of viable Indian Tribes.

- A more rational utilization of land and other natural resources and the better arrangement of residential, commercial, industrial, recreational, and other needed activity centers.

- The restoration and preservation of properties of special value for historic, architectural or aesthetic reasons.

FY 1978 funding is $25,000,000.

4. Urban Development Action Grant Program (UDAG)

Project grants to communities under 50,000 population which are not central sites of standard metropolitan statistical areas to help stimulate private investment in alleviating physical and economic distress. The program seeks to provide leverage for private investment by using private funds. Possible uses of action grants include land clearance, site improvements, rehabilitation of housing and construction of public, commercial, industrial or residential structures.

Minimum standards of distress are measured within three population ranges: 49,999 to 25,000; 24,999 to 2,500; and under 2,500. Cities of less than 2,500 population in 1975 are eligible for grant assistance, only if the Secretary of HUD determines that a city has demonstrated its capacity to successfully conduct a project of the type contemplated for UDAG and that the city meets the minimum standards established for cities between 2,500 and 24,999 population. Cities between 2,500 and 24,999 in 1975 are eligible if they fit into situation a, b or c as follows:

a. Cities between 2,500 and 24,999 whose distress standards in poverty and housing do not equate to double the metropolitan median and whose poverty is at least one-half the median for all metropolitan cities (or 5.62 percent) must meet three of the following criteria:

1) housing - 34.15% or more of year-round housing units were constructed prior to 1940.

2) per capita income - net increase for the period 1969-74 was less than $1,425.

3) poverty - 11.24% or more are at or below the poverty level.

4) population lag/decline - percentage rate of population change between 1970-75 was .31 or less.

b. Cities between 2,500 and 24,999 whose percent of persons at or below the poverty level is twice the median for all metropolitan cities (or 22.8%) must meet standard 1, 2, or 4 listed under (a).

c. Cities between 25,000 and 24,999 whose percent of year-round housing constructed prior to 1940 is twice the median for all metropolitan cities (or 68.3%) must have a level of poverty in which 11.24% or more of persons within the applicant jurisdiction are at or below the poverty level.

5. Comprehensive Planning Assistance "701" (14.203)

Project grants for up to 2/3 of cost to states, for intra-interstate planning, cities of 50,000 or more, urban counties, metropolitan clearinghouses, councils of government, Indian tribal groups or other governmental units having special needs for a broad range of planning and management activities. Housing and land use planning are particular emphases of this planning program. FY 1978 appropriations are $57 million.

V. Department of the Interior

The Department of the Interior is principally responsible for fostering the conservation of natural resources. It also has responsibility for managing the nation's parks, preserving historical places, promoting outdoor recreation, and oversight of American Indian reservations and people in the U.S. Trust Territories.

A. Bureau of Indian Affairs

The Bureau provides a variety of specialized services for Indian tribes and individuals, but only direct financial assistance will be discussed in this section. In each instance, contact your Bureau Agency Office or nearest Bureau Area Office.

1. Indian Housing - Improvement (15.116)

Project grants to Indians for housing improvement and in special situations new construction will be provided for those that cannot be helped by any other federal program.

2. Indian Business Enterprise Development (15.117)

Direct payments for specified use to federally recognized tribes and Indian groups to create jobs and raise income levels for Indians. The program objective is to establish or expand business enterprises on or near reservations with emphasis on Indian ownership, management, and employment.

3. Indian Loans - Economic Development (15.124)

Project grants, direct loans and guaranteed/insured loans to Native American individuals of federally recognized tribes and organizations for a variety of economic development purposes. Funds must be unavailable from other sources on reasonable terms.

4. Facility School Construction (15.137)

Project grants to build schools for Indian children in federally affected areas and to provide facilities for Indian children in tribally operated previously private schools.

B. Bureau of Outdoor Recreation

1. Outdoor Recreation - Acquisition, Development and Planning (15.400)

Project grants of up to 50% to states and through them to political subdivisions and Indian tribes for a wide range of outdoor recreation projects. Planning funds are available to states to develop statewide comprehensive plans. Funds may not be used for the operation or maintenance of facilities and must be in accord with the state comprehensive plan. In FY 1978 $306,070,000 is available to states. Contact your regional office.

2. Acquisition of Abandoned Railroad Rights-of-Way for Recreation and Conservation

Project grants are available to state and local governments for the purpose of acquiring abandoned rights-of-way for nature trails and other recreation and conservation purposes. FY 1978 funding is $5 million.

C. National Park Service

1. Historic Preservation (15.904)

Project grants of up to 50% to states and territories to prepare comprehensive plans and to assist historic preservation projects in the public and private sectors. Funds may be transferred by State Historic Preservation Officers to private organizations, individuals or governmental subdivisions. Districts,

sites, buildings, structures, and objects significant in American history qualify for historic preservation funds, but restrictions are placed on buildings and other landmarks of merely local significance, such as firehouses and county courthouses. FY 1978 appropriations are $45 million. Contact your State Historic Preservation Office or the National Register of Historic Places, Department of Interior, Washington, D.C. 20240, 202/523-5472. It publishes "Sources of Preservation Funding".

VI. Department of Labor

The Department of Labor seeks to advance the opportunities of wage earners for profitable employment and to protect and promote their welfare and safety in the workplace.

While conceding that the Department of Labor has traditionally had a strong urban bias, Secretary Ray Marshall has established a task force to insure that programs of the Department better serve rural areas. Marshall is a strong advocate of utilizing manpower programs in conjunction with rural economic development strategies.

The Comprehensive Employment and Training Act of 1973 consolidated a number of project grants into block grants which are distributed basically to states and local governments. The purpose of the Act is "to provide job training and employment opportunities and enhance self-sufficiency". The major beneficiaries of CETA programs are the "economically disadvantaged, the unemployed and the underemployed".

The Act, as amended, contains seven titles covering such programs as manpower training, Job Corps, public service employment, and special programs for Indians, migrants and seasonal farmworkers, the elderly, and youth. CETA funds are distributed according to several formulas based on the particular title.

The major provisions of the Act are administered by "prime sponsors" which are usually cities and counties in urban areas, consortia of local governments in both rural and urban areas, and state governments in both rural and urban areas. Difficulties arising from state administration of employment and training funds include the wide discretion in administering funds allowed governors and a wide range in the responsiveness to local needs and approaches. Rural counties are hampered by a lack of employment offices at the local level. Moreover, unemployment statistics are scant for rural areas, and often, underemployment is a greater problem than unemployment.

The U.S. Department of Labor suggests the following steps for obtaining CETA funds:

1) Find out who your prime sponsor is (contact State Manpower Service Council or your regional DOL office).

2) Find out who the prime sponsor's CETA planner is and make an appointment to talk with him or her.

3) Become familiar with CETA in your area - Editor's Note: who has obtained CETA funds in your area? Are there political nuances to the administration of CETA funds in your area?

4) Find out the CETA funding process for your area and the method for submitting your funding application.

5) Complete and submit your application.

6) Be visible and active on a year-round basis.

7) Find out about other CETA funding possibilities, such as the Governor's discretionary funds or special programs under Title III.

There are expanding opportunities for local governments and groups to take advantage of. However, CETA will be reauthorized in calendar year 1978, and it is important to keep abreast of changes in the Act. The Department of Labor has provided a basic handbook for women's groups seeking CETA funds, but it has broader applicability than just women. It is entitled, A Guide To Seeking Funds From CETA and is available from the U.S. Government Printing Office or the U.S. Department of Labor, Employment Standards Administration, Women's Bureau, Washington, D.C. 20210. Community development corporations and other community-based organizations may obtain resources and information from the Center for Community Change and the National Economic Development Law Project. The Center for Community Change has published a Citizen's Action Guide for CETA (March, 1976), and the National Economic Development Law Project has two publications on CETA and Community Economic Development, entitled Job Development and Conference Transcripts/Job Development. Write: Center for Community Change, 1000 Wisconsin Avenue, N.W., Washington DC 20007, and National Economic Development Law Project, 2150 Shattuck Avenue, Berkeley, CA 94704.

The Department of Labor can also provide Guides for Prime Sponsors : Community Based Organizations; Apprenticeship and CETA; and Payment of Training Allowances and Expenses. Write: Employment and Training Administration, Room 10225, 601 D Street, N.W., Washington, D.C. 20213. In addition, information necessary for planning and obtaining assistance regarding employment and unemployment statistics can be obtained from the Bureau of Labor Statistics, Room 1539, General Accounting Office, 441 G Street, N.W., Washington, D.C. 20212.

The National Rural Center has rural manpower experts in its offices in Austin, Atlanta, and Washington, D.C., focusing principally on linkages between manpower training and public works projects. Information should be requested from the National Rural Information Center.

A. Employment and Training Administration

To keep abreast of current developments within this agency, subscribe to its free monthly publication ETA Interchange by contacting U.S. Department of Labor, Employment and Training Administration, Washington, D.C. 20213.

Regional offices are as follows:

Region 1
Rm. 1707, John F. Kennedy Bldg.
Government Center
Boston, MA 02203
(617) 223-6439

Region 2
1515 Broadway
Rm. 3713
New York, NY 10036
(212) 399-5445

Region 3
P. O. Box 8796
Philadelphia, PA 19101
(215) 596-6346

Region 4
1371 Peachtree Street, N.E.
Rm. 405
Atlanta, GA 30309

Region 5
230 S. Dearborn Street
Chicago, IL 60604
(312) 353-0313

Region 6
555 Griffin Sq. Bldg.,
Rm. 317
Griffin and Young Sts.
Dallas, TX 75202
(214) 749-2841

Region 7
Federal Bldg., Rm. 1000
911 Walnut Street
Kansas City, MO 64106
(9816) 374-3796

Region 8
1961 Stout Street
Denver, CO 80294

Region 9
Rm. 1145, Federal Bldg.
909 First Avenue
Seattle, WA 98174

Region 10
Rm. 1145, Federal Bldg.
909 First Avenue
Seattle, WA 98174
(206) 442-5570

1. Title 1 of CETA - Comprehensive Manpower Services (17.232)

Formula grants to "prime sponsors" (see earlier discussion) to provide training and employment opportunities to the unemployed, underemployed, and disadvantaged. Program activities include: Classroom training, on-the-job training, public service employment, and services to clients. In addition to prime sponsor allocations, governors receive funds for state vocational education agencies to provide their services to prime sponsor areas; costs incurred in staffing and servicing state manpower services councils, and provision of statewide manpower services. Funds are distributed on a formula based on previous manpower allotments, unemployment, and poverty. Prime sponsors must have a planning council and must submit annually a comprehensive manpower plan. Local governments and organizations wishing to obtain a contract to provide training or services under this Title should contact your prime sponsor, or if unknown contact your regional office. FY 1978 funding for Title I is $1,880,000,000.

2. Titles II and VI of CETA - Public Service Employment (17.232)

Formula grants to "prime sponsors" and Indian tribes with substantial unemployment to provide temporary employment for the unemployed and underemployed. Title II funds are for transitional employment in areas of high unemployment coupled with training to place participants in private sector jobs. 85% is used to pay wages and fringe benefits to participants and 15% for administration, supplies and equipment. Also under Title II is the summer youth program which provides employment, training, counseling and job preparation for economically disadvantaged youths during summer months. Title VI funds provide temporary public service jobs for the unemployed and underemployed. In short, Title II funds are distributed to areas of high unemployment for transitional purposes, while Title VI funds are disseminated on the basis of state unemployment and as a "stop-gap" measure.

Both programs require that program participants be placed in new jobs and not for existing positions. Job slots may be filled by state and local public agencies as well as private nonprofit organizations in such areas as environmental quality, health care, education, child care, transportation, recreation, park maintenance, housing and neighborhood improvement, and rural development. Public service employment has been used in a number of creative ways to accomplish community goals as well as reduce the burden of unemployment and underemployment in the community. Communities and groups wishing to utilize public service employees or subcontract for public service employment slots should contact your prime sponsor, or if unknown, your regional office. Public service employment programs expanded dramatically under the Economic Stimulus Appropriations Act of 1977.

3. Title III of CETA Migrant and Seasonal Farmworkers (17.230)

Project grants to Title I prime sponsors with significant numbers of seasonal farmworkers in the jurisdictions, public agencies within the jurisdiction of Title I prime sponsors which have been designated by the prime sponsor, or private nonprofit organizations to provide necessary services to help migrant and seasonal farmworkers and their families find economically viable alternatives to seasonal agricultural labor, and assist those others who may remain as seasonal agricultural workers. FY 1978 funding is $75.2 million with economic stimulus funds at $20 million. Contact the Division of Farmworker Programs, Employment and Training Administration, U.S. Department of Labor, Washington, D.C. 20213 (phone: 202/376-7288).

4. Title III of CETA Indian and Native American Programs (17.234)

Project grants to Indian tribes, bands or groups meeting eligibility criteria, or if ineligible, public or private nonprofit agencies selected by the Secretary are eligible for the purpose of reducing the economic disadvantages among Indians and others of native American descent. FY 1978 funding is $60.16 million with economic stimulus monies of $17 million. Contact the Office of Indian and Native American Programs, Employment and Training Administration, U.S. Department of Labor, 601 D Street, N.W., Washington, D.C. 20213 (phone: 202/376-6102).

5. Title III of CETA Youth Employment and Demonstration Programs

Formula grants to Title I "prime sponsors" to employ and increase the employability of youth, to coordinate and improve development, jobs, and training programs, and to explore a number of different approaches for providing services to young people. Youth Employment and Training Program funds are allocated by formula to Title I prime sponsors as well as some Title III grantees for the basic purpose of providing in-school and out-of-school job experience to disadvantaged youth between the ages of 16 and 21. FY 1978 appropriations are $536 million. Title I prime sponsors, Native American, and farmworker grantees are also eligible for Youth Community Conservation and Improvement Projects which provide employment, work experience, skill training, and opportunities for community service to unemployed youth between the ages of 16 and 19 who are having difficulty getting work. Participation in the program is limited to twelve months. Projects may include rehabilitation of public facilities, weatherization and basic repairs of low-income housing, and energy conservation efforts. Involvement of neighborhood and local organizations is stressed to assure that projects accurately

reflect the needs of the area or community. FY 1978 appropriations are $115 million. For further information, contact your prime sponsor or the Office of Youth Programs, Employment and Training Administration, U.S. Department of Labor, Washington, D.C. 20213 (phone: 202/376-5160).

6. Title IV of CETA Job Corps (17.211)

Project grants to federal, state, local government agencies, private profit and nonprofit organizations and Indian tribes and organizations to assist young people through educational and vocational training to become more employable and productive. Job Corps enrollees are between the ages of 14 and 21 and are placed in a comprehensive, residential training program over a maximum period of two years. Currently, there are 60 Job Corps Centers, including 27 Civilian Conservation Centers administered by the Departments of Agriculture and Interior in national forests and parks and on other public lands. Fifty to seventy new centers will be selected in the near future but with priority going to urban areas. FY 1978 appropriations are $417 million with $48 million going to Civilian Conservation Centers.

7. Title VII of CETA Young Adult Conservation Corps

Formula grants to states to establish a Young Adult Conservation Corps to provide employment and other benefits to youths 16 through 23 years of age who would not otherwise be currently productively employed, through a period of service during which they engage in useful conservation work and assist in completing other projects of a public nature on federal and non-federal public lands and waters. Seventy percent of the funds will be administered by the U.S. Department of Agriculture and Interior with state employment service offices, prime sponsors, and others providing referral services. Thirty percent of the funds will be allocated to the states, which through designated grant coordinators may contract with local governments, public agencies or organizations, or private nonprofit organizations which have been in existence for at least two years. FY 1978 funding for state programs is $69.9 million. Contact your state employment service agency or the DOL regional office.

8. CETA Title III Skill Training Improvement Program (STIP)

Formula grants to Title I prime sponsors to meet industry's need for specific skills and to increase private sector participation in the design and operation of training programs. Private sector involvement at the local level is required to help identify occupations in which training should be provided, developing curriculum, soliciting job commitments from employers, reviewing and monitoring programs, and providing instructions, instructors,

equipment and training sites. STIP training courses emphasize classroom instruction, although a combination of classroom and on-the-job training is permissible. Training periods last from 6 to 15 months. Funding for FY 1978 is $75 million. Contact your prime sponsor for information on contracting.

9. Senior Community Service Employment Program (17.235)

Project grants to states and local governments, public and private nonprofit organizations, federal establishments and agencies and Indian tribes on federal or state reservations to provide, foster and promote useful and part-time work opportunities in community service activities for low-income persons who are 55 years old and older, and who have poor employment prospects. FY 1978 funding is $190.4 million. Contact the Office of National Programs, Employment and Training Administration, Department of Labor, 601 D Street, N.W., Washington, D.C. 20213 (phone: 202/376-6130).

VII. U.S. Department of Transportation

While rural transportation needs have traditionally been perceived as constructing and expanding rural roads and highways, a number of transportation modes enhance rural mobility and in turn increase access to economic opportunity. In particular, rural public transportation is perceived as an important means to expanding access to services, job opportunities, and basic amenities. At the time of this writing, it is apparent that a new program will be authorized by Congress in which funds will flow through the states for operating and capital support for rural and small city public transportation. Contact the National Rural Center for updated details.

If you are interested in establishing, expanding, or improving a passenger transportation system, you should contact the U.S. Department of Transportation's Transportation System Center, Kendall Square, Code 151, Cambridge, MA 02142 for information including Rural Passenger Transportation (October, 1976). In addition, the National Council for the Transportation Disadvantaged has published a Handbook for Rural Transportation. Write NCTD, Cape May County Airport, Rio Grande, New Jersey 08242.

Those threatened with rail abandonment should contact the Office of Rail Public Counsel, 1030 15th Street, N.W., Washington, D.C 20005 for planning and legal assistance.

A. Federal Aviation Administration

1. Airport Development Aid Program (20.102)

Project grants of up to 90% to states, counties, localities, and Indian tribes to assist in the development of public airports adequate to meet the needs of civil aeronautics. Applicants must have their airports listed on the National Airport System Plan.

Contact the DOT Regional Office. FY 1978 funding is $540 million.

2. Airport Planning Grant Program (20.103)

Project grants of up to 90% to states, counties, and localities for development of airport master plans if their airport is shown in the National Airport System Plan. Contact DOT Regional Office. FY 1978 funding is $14 million.

B. Urban Mass Transportation Administration

1. Capital Assistance to Private Nonprofit Organizations to Transport Elderly and Handicapped Persons - Section 16(b)(2)

Formula grants to state agencies designated by the Governor to help private nonprofit organizations provide for the specialized needs of elderly and handicapped persons in urbanized and non-urbanized areas where existing or proposed services of public and private transit operators are not adequate. Contact your State Department of Transportation or Highways.

VIII. Independent Agencies

A. ACTION

1. Volunteers in Service to America (VISTA) (72.003)

Project grants to any public or nonprofit private agency to supplement efforts of community organizations to eliminate poverty and poverty-related human, social and environmental problems. Full-time volunteers are provided for one to two years in clearly-defined jobs which lead to mobilization of the community's resources. Work has been done in poverty related programs dealing with housing, health, education, community development, social services, manpower and economic development. Contact VISTA, 806 Connecticut Avenue, N.W., Washington, D.C. 20525.

2. Mini-Grant Program (72.010)

Project grants to state and local governments, public or private nonprofit organizations for the purpose of mobilizing relatively large numbers of part-time uncompensated volunteers to work on human, social and environmental needs. Awards may not exceed $5,000 and grants in excess of $2,000 must be accompanied by a dollar-for-dollar match of non-federal funds for each dollar over $2,000. Contact Office of Special Volunteer Programs, ACTION, 806 Connecticut Avenue, N.W., Washington, D.C. 20525 (202) 254-6890.

B. Appalachian Regional Commission (ARC)

The Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, D.C. 20235 publishes a periodic newsletter on executive proposals, legislation, and federal program regulations relating to the Appalachian area - Appalachian Federal Resources Bulletin. In addition, a monthly journal of events and programs in the area is also published by ARC - Appalachia. For information on ARC programs contact the ARC state office designated by your governor, or if unknown, contact the national office at the aforementioned address.

1. Appalachian Supplements to Federal Grant-in-Aid (23.002)

Project grants are available to states, their subdivisions and instrumentalities, and private nonprofit agencies to help increase the federal contribution for projects of construction, land aquisition, and/or equipment and other community or economic development or economic adjustment activities. Eligible applicants must show that they are unable to supply the matching share required for a particular program. In addition, special basic federal grant-in-aid program to meet the needs of the area. Projects must be of high priority to the State's Appalachian development plan and also important to the areawide development program.

2. Appalachian Health Programs (23.004)

Project grants to states, and through states to health systems agencies, local governments and nonprofit organizations, to provide a flexible, noncategorical approach to the development of health demonstration projects through community planning on a multicounty basis and implementation of that planning through service. Funds are available for demonstrations of health program development, health facilities, health programs, and health innovations such as primary care, nutrition, emergency service, and home health care, Manpower and Communications in an organized system. Twenty percent local match is required for construction projects, and full operating grants are available for the first two years with 25 percent shares required for the next three years.

3. Appalachian Housing Assistance (23.005)

Project grants and direct loans are available to private nonprofit organizations, limited dividend organizations, cooperative organizations, and public bodies for the purpose of stimulating low and moderate income housing construction and rehabilitation, and to assist in developing site and off-site improvements for low and moderate income housing in the Appalachian Region. Project planning loans are available for plan-

ning federal and/or state low and moderate income housing projects and obtaining mortgage insurance. Site development costs and necessary off-site improvement costs when used in conjunction with federal and/or state agency fees, construction loan fees and discounts. Grants may cover 100 percent of reasonable site development and off-site improvement costs but shall not exceed 10 percent of total project costs.

4. Appalachian State Housing Technical Assistance Grants (23.006)

Project grants to states and their local public bodies and nonprofit housing organizations to help generate more properly conceived and executed housing projects. Applicants contract through ARC to provide technical assistance for construction, rehabilitation, and operation of low and moderate income housing. Grants of 100% are provided with no set time periods for assistance.

5. Appalachian Local Access Roads (23.009)

Project grants are available to states, and through states to public bodies and private groups in Appalachia to provide access to industrial, commercial, educational, residential, and related transportation facilities. Construction must be accepted by the Federal Highway Administration and the state.

6. Appalachian Local Development District Assistance (23.009)

Project grants to multicounty organizations certified by the state to provide planning and development resources in multicounty areas, to help develop the technical competence essential to sound development assistance; and to meet the objectives of the Appalachian Regional Commission.

7. Appalachian Mine Area Restoration

Project grants of no more than 75% to states and through states, public bodies or private nonprofit organizations to rehabilitate areas presently damaged by deleterious mining practices and for controlling or abating mine drainage pollution.

8. Appalachian State Research, Technical Assistance, and Demonstration Projects (23.011)

Project grants are available to Appalachian states alone or in conjunction with other Appalachian states, and public bodies at the local level to engage in state-sponsored research in order to assist ARC in accomplishing its objectives of promoting concerted economic and social development. Priority is given to research of regionwide significance and application. Demonstration

programs include rural transportation, indigenous arts and crafts, timber development, junk care and waste disposal, and energy-related enterprise development.

9. Appalachian Vocational and Other Education Facilities and Operations (23.012)

Project grants are available to states, and through states, public educational institutions and private post-secondary institutions to construct, equip, and operate publicly owned vocational education facilities. Most proposals are for regional vocational-technical centers serving multicounty areas.

10. Appalachian Transportation Planning, Research, and Demonstration Program (23.017)

Project grants of no more than 70% are available to state and local governments and nonprofit agencies to encourage the preparation of action oriented plans and programs which reinforce and enhance other transportation, but particularly highway investments.

C. Community Services Administration (CSA)

The Community Services Administration has an overall purpose of reducing poverty in both urban and rural areas of the United States. CSA supports local organizations such as community action agencies and community development corporations which have representation from the poor and seek to alleviate poverty in local areas.

In each instance, contact the regional CSA office.

1. Community Action (49.002)

Project grants to community action agencies to mobilize and channel the resources of private and public organizations and institutions into antipoverty action; to increase the capabilities as well as opportunities for participation of the poor in the planning, conduct, and evaluation of programs affecting their lives; to stimulate new and more effective approaches to the solution of poverty problems; to strengthen communications and mutual understanding; and to strengthen the planning and coordination of antipoverty programs in the community. FY 1978 funding is $369 million.

2. Community Economic Development (Title VII) (49.011)

Project grants to promote special programs of assistance to private locally initiated community development corporations (CDCs) which 1) are directed to making a measurable impact in arresting tendencies toward dependency, chronic unemployment and community deterioration in urban and rural areas having concen-

trations of substantial numbers of low income persons; 2) hold forth the prospect of continuing to have such impact after the termination of financial assistance, and 3) invest to start, expand or locate enterprises in or near the area served so as to provide employment and ownership opportunities for the residents of such areas. Funds are granted directly to CDCs, except during the initial planning phase, when the CDC may not be legally incorporated. About 20 CDCs serving rural areas have obtained assistance since the program's inception. FY 1978 funding is $48.17 million. Contact the Office of Economic Development, Community Services Administration, 1200 19th Street, N.W., Washington, D.C. 20036 (202)254-6180.

3. Emergency Energy Conservation Services (49.014)

Project grants to community action agencies, State Economic Opportunity Offices, nonprofit community development corporations, and other public and/or private nonprofit organizations meeting CSA eligibility criteria for the purpose of enabling low income individuals and families, including elderly and near poor, to lessen the impact of the high cost of energy and to reduce individual and family energy consumption. Principal activity funded under this program is weatherization. FY 1978 funding is $65 million.

4. National Center for Appropriate Technology (Demonstration Grants)

Community action agencies, community development corporations, and other nonprofit organizations serving the poor are eligible for demonstration grants for the purpose of testing and evaluating new technologies, primarily solar heating and cooling. Applications must also be approved by the pertinent regional office of CSA. In addition, NCAT publishes news bulletins, research reports, and how-to pamphlets on such matters as small-scale agriculture, weatherizing of mobile homes, Technology, P.O. Box 3838, Butte, Montana 59701, (phone: 406/723-5474).

5. Rural Development Loan Fund (plans for implementation are still under consideration)

Contact the National Rural Development and Finance Corporation, 2101 L Street, N.W., Suite 916, Washington, D.C. 20037, (phone: 202/466-8960).

D. Environmental Protection Agency (EPA)

The Environmental Protection Agency has an overall purpose of protecting and enhancing the environment by controlling and abating pollution in the areas of air, water, solid waste, pesticides, noise, and radiation. EPA has come under criticism from local governments in its monitoring and enforcement activities, but it also doles out a substantial amount of project

grants to local governments to help solve the problems of air, land, and water pollution. Contact the regional office of EPA listed below for further information on the following programs.

Region 1
Rm. 2203
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203
(617) 223-7210

Region 2
Rm 1009, 26 Federal Plaza
New York, NY 10007
(212) 264-2525

Region 3
Curtis Bldg.
6th and Walnuts Sts.
Philadelphia, PA 19106
(215) 597-9814

Region 4
Suite 300
1421 Peachtree St., N.E.
Atlanta, GA 30309
(404) 526-5727

Region 5
230 S. Dearborne, 12th Fl.
Chicago, IL 60604
(312) 353-5250

Region 6
1600 Patterson St.
Dallas, TX 75201
(214) 749-1962

Region 7
1735 Baltimore Ave., Rm. 249
Kansas City, MO 64108
(816) 374-5493

Region 8
Lincoln Tower Bldg.
1860 Lincoln St.
Denver, CO 80203
(303) 837-3895

Region 9
100 California St.
San Francisco, CA 94111
(415) 556-2320

Region 10
6th Avenue
Seattle, WA 98101
(206) 442-1200

1. Air Pollution Control (66.001)

Project grants of up to 75% are available to state, municipal, and interstate agencies to assist in planning, developing, establishing, improving, and maintaning adequate programs for prevention and control of air pollution or implementation of national primary and secondary air quality standards.

2. Solid Waste Disposal Planning Grants (66.027)

Project grants of up to 2/3 for one municipality or 3/4 for state, interstate, or intermunicipal agencies to assist in developing plans and programs leading to the solution of solid waste management problems.

3. Construction Grants for Wastewater Treatment Works (66.418)

Project grants of up to 75% (with a possibility of 85% funding for systems utilizing alternate technologies) to municipal, intermunicipal, state, interstate agency, or Indian tribes having jurisdiction over disposal of wastes to plan and construct sewage treatment works which meet state and federal standards. The Clean Water Act of 1977 provides for more favorable consideration of small communities with provisions mandating examination of less costly systems (which are particularly appropriate to smaller communities) as well as a 4% set-aside for alternative systems in communities of 3,500 or less. In the past, smaller communities have experienced difficulty in getting on state priority lists and advancing up such lists in order to obtain EPA assistance, but the 1977 Act permits states to modify their priority lists to give higher priority to "innovative and alternative" systems. Moreover, the burdensome and time-consuming process of receiving EPA assistance in three steps can be bypassed by communities of 25,000 or less, when the cost of preparing construction plans and specifications and the building and erection of treatment works is estimated at less than $2 million or $3 million, if a state is found to have unusually high costs of construction. Unlike the Farmers Home wastewater treatment program, collection systems are usually not funded, individual systems are sometimes encouraged, the community's ability to pay is not a consideration, and funds to nonprofits are not granted. Contact your state department of environmental quality or water quality. FY 1978 funding is $4.5 billion.

E. Legal Services Corporation

The Legal Services Corporation is a federally funded, independent agency promoting legal assistance to indigent people. The Legal Services Corporation has a mandate to provide minimum legal assistance (one lawyer per 10,000 population) to all indigent people by FY 1980. Since many of the urban poor are already served, substantial opportunity exists for rural areas. FY 1978 funding is $205 million. Contact the Legal Services Corporation, 733 15th Street, N.W., Washington, D.C. 20005 (phone: 202/376-5100). LSC publishes a bimonthly newsletter.

F. National Endowment for the Arts

The National Endowment for the Arts seeks to assist and encourage the nation's cultural resources. The major goals of the Endowment are to make the arts more widely available to Americans, to strengthen cultural organizations, to preserve our rich cultural heritage for present and future generations, and to encourage the creative development of our nation's finest talent. It has twelve program areas, and information about these programs is contained in the Endowment's Guide to Programs available from the Program Information Office, Mail Stop 550, National Endowment for the Arts, Washington, D.C. 20507.

1. Livable Cities

Project grants are available to nonprofit, tax-exempt organizations, including universities, professional degree-granting institutions, state arts agencies, state and local governments, regional arts organizations, and national service organizations to encourage exemplary design in communities as an integral part of the planning process and to assist communities in the planning and design of exemplary cultural facilities. Matching grants of up to $30,000 are available to promote design excellence in research, planning, and conceptualization of projects, such as design of special public places, preserving architectural heritage, open space and design for recreation, townscape improvement, enhancement of rural landscapes, creative zoning and building codes, and commercial district revitalization. In addition, more limited assistance is available for the planning and design of exemplary cultural facilities which have the greatest promise of implementation. No funds are available for acquisition of real estate, construction, repairs to buildings, or capital investment. For further information contact the National Endowment for the Arts, Architecture and Environmental Arts, Mail Stop 503, Washington, D.C. 20506 (202)632-4276. No certain amounts are established for this program, but FY 1978 funding is approximately $1 million.

G. Small Business Administration

The Small Business Administration (SBA) has as its primary goal the preservation of free, competitive enterprise in order to strengthen the Nation's economy. SBA's specific lending objectives are to stimulate small business in deprived areas, promote minority enterprise opportunity, and promote small business contribution to economic growth. SBA assists businesses which are independently owned, are not dominant in their field and meet employment or sales standards developed by the Agency which generally are as follows:

manufacturing - from 250 to 1,500 employees depending on the industry in which the applicant is primarily engaged;

wholesaling - yearly sales are not over $9.5 to $22 million, depending on industry;

services - annual receipts not exceeding $2 million to $8 million depending on industry;

retailing - annual sales receipts are not over $2 million to $8 million depending on industry;

general construction - average annual receipts not exceeding $9.5 million for three most recently completed fiscal years;

Special trade construction - average annual receipts not exceeding $1 million depending on industry.

For further information contact your SBA field office.

1. Small Business Loan (59.012)

Guaranteed/insured or direct loans are available to small business as previously defined to construct, expand or convert facilities; to purchase building equipment or materials; and for working capital. Private financing must be unavailable, and if SBA participation is necessary, maximum private lender participation is emphasized. SBA will guarantee up to 90 percent or $350,000, whichever is less, of a bank loan; or if not obtainable an immediate participation loan up to $150,000 is available; or if other forms of financing are unavailable a direct loan up to $100,000 may be available. Nonprofits are not eligible nor are certain activities such as agribusiness, media, property speculation, and gambling. SBA has material on its program, and further information can be obtained from your SBA field office.

CHAPTER TWO

STATE ROLES IN RURAL DEVELOPMENT

"Development activities at the State level have grown increasingly complex and significant in the past 15 years. The new social and economic programs of the 1960's resulted in important changes in the Federal Government's relationships with the States. Throughout the country, a broader view of development has begun to emerge; it is no longer conceived simply in terms of attracting more industry. This broader view of economic development was important in the concept of rural development that took significant legislative form in the Rural Development Act of 1972. As development issues have become more complex, they have required the attention and decisions not of a single agency, but rather of many agencies and political jurisdictions. These changes have increased the importance of the States' role."

from "Rural America: Poverty and Progress" prepared by the U.S. Department of Agriculture, December, 1977

INTRODUCTION

State governments are playing an increasingly important role in promoting rural development. While programs of the Great Society often bypassed states, today, a number of federal programs involve states in planning and administration. State governments are in their own right important resources for furthering rural development activities. In some instances, governors and state legislatures have been in the forefront in developing and implementing innovative solutions to rural problems. In other instances, state governments found the need to respond to program cutbacks at the federal level by increasing state involvement.

The state role in promoting rural development varies considerably from state to state. William E. Bivens states in State Development Strategies for Rural Communities:

> *They (states) can foster or engage in investments in human resources, institutional capacities; technology and access to it, social and economic overhead capital (infrastructure), and natural resource development. They also can render or support needed technical assistance and training, provide or induce access needed financial resources, and apply direct regulatory controls. In short, they can do much to lay the ground work or create the necessary climate for rural development.*

The major purpose of this chapter is to alert readers to the role that your state might play in assisting your community in its rural development activities. Departments and agencies which may be involved will be discussed in a general way. In addition, the kinds of activities and programs which may be pursued at the state level will also be discussed. However, no attempt will be made to catalogue state by state the various roles and activities which states play in promoting rural development.

WHERE TO GO FOR RURAL DEVELOPMENT SUPPORT

In February, 1977 the National Rural Center queried each of the governors of the fifty states and Puerto Rico to determine how state governments are structured to coordinate and promote rural development. Twenty-two governors stated that no single agency or department was designated a lead role in the rural development field; seven governors did not respond; and others indicated that lead agencies were their rural development office or agency, the State Department of Agriculture, State Department of Community Affairs, State Department of Economic Development, or the USDA Rural Development Committee.

The few identifiable rural development agencies are usually located within larger departments. For instance, Colorado's Office of Rural Development is within the State Department of Community Affairs. Among the functions of these rural entities are administrative and/or policy coordination (Virginia, California, South Carolina, Minnesota, Michigan, Wisconsin), administration of rural development grants and loans, (New Jersey, Alaska, Minnesota), and technical assistance (South Carolina, Minnesota, Alaska).

The next state department most likely to play a lead in rural development is the State Department of Community or Local Affairs. There are 45 such departments; 27 have responsibility for anti-poverty programs; and 18 are linked with departments of community and/or economic development. Departments of Community Affairs are responsible for a variety of activities including administering and coordinating a variety of community assistance programs, promoting intergovernmental cooperation and action, establishing appropriate linkages with other state agencies, advocating local government interests, and providing training and technical assistance to communities. Program activities may include housing, community development, land use planning, community action, economic development, nutrition, and energy conservation. Further information on these departments can be obtained from the Council of State Community Affairs Agencies, 444 North Capitol Street, Washington, D. C. 20001.

The next stop at the state level is the State Department of Economic Development and/or Commerce. These departments are responsible for generating the economic growth of the state, primarily through industrial development and expansion. This may involve the attraction of direct capital investment by coordinating industrial development efforts of local communities, establishing manpower development and training programs, economic planning, financing assistance, and servicing existing industry's needs and collecting data required by business to make site location decisions. For further information, contact the National Association of State Development Agencies, 444 North Capitol Street, Washington, D. C., 20001.

State Departments of Agriculture are also potential resources for rural development. For instance, New Jersey has a Division of Rural Resources within its Department of Agriculture, and the Pennsylvania Department of Agriculture has a Bureau of Rural Affairs. For further information on the roles of State Departments of Agriculture, contact the National Association of State Departments of Agriculture, 444 North Capitol Street, Washington, D. C. 20001.

Other departments which may have some role in rural development include planning offices, transportation departments, health and social development departments, departments of natural resources, and intergovernmental affairs offices. In addition, State Rural Development Committees under the auspices of the U.S. Department of Agriculture may be involved, but their effectiveness varies significantly.

AREAS OF INVOLVEMENT

Priorities for rural development vary greatly from state to state. Your state may be a leader in one or more areas and uninvolved in others. The following rural development functions may give you some indication of possible activities in your state.

Business Development

About half of the states have business development corporations, also referred to as development credit corporations. Such corporations are established to make credit available to businesses which cannot obtain conventional credit from private sources. These corporations are specially chartered which enables them to pool resources from private lenders in order to provide risk capital to smaller firms. The major activity has been in financing manufacturing businesses, but recreation and service industries have also obtained financing.

Some states are providing technical assistance to minority business. In addition, a few states such as North Dakota, Massachusetts, and Oregon have established innovative banking mechanisms to promote socially desirable investments such as agriculture or economic development in distressed communities.

Community Development

A number of State Departments of Community Affairs assist local officials in applying for and administering HUD Community Development Block Grants. In addition, some states have special programs for community development and neighborhood preservation. New Jersey's Department of Community Affairs makes grants up to $100,000 per year to municipal governments to conduct preservation activities in declining neighborhoods. Pennsylvania and Missouri provide tax credits on state corporate tax liability to corporations which sponsor community development projects in impoverished areas or which contribute to nonprofit community organizations. Wisconsin has a Community Development Fund to help local governments initiate and implement constructive new programs that can be transferred to other local governments throughout Wisconsin.

Economic Development (general)

As previously stated, State Departments of Economic Development and/or Commerce play a variety of roles in promoting economic development in general. The Minnesota Department of Economic Development has a small grant program which provides grants to community development corporations to undertake economic planning and business development activities. West Virginia has a Community Partnership Grants and Loans Program which supports projects having an impact on growth and economic development potential of a particular area and stimulates private investment. Other agencies may also be involved. For example, the South

Carolina Office of Rural Development provides technical assistance to a variety of low-income organizations for self-help initiatives.

Energy Development and Impact Assistance

In lieu of a national energy policy, a number of states have become involved in promoting energy development and conservation. According to the Citizens' Energy Project, more than 23 states have enacted statutes that offer such incentives as tax credits and deductions, exemptions from property and sales taxes for solar units, and low-interest loans. The Arizona Solar Energy Research Commission conducts research and development programs and installs demonstration solar units. Several states have established information referral systems regarding insulation, solar energy, and energy conservation. At least four states have small grant programs to aid individual homeowners, small communities and businesses in developing solar and other alternative energy technologies. These include Minnesota, Iowa, Maine, and Montana. California's Office of Appropriate Technology performs a number of functions to promote the development of alternative technologies. Vermont has approximately 100 town energy coordinators who are trained and assisted by the State Energy Office and in turn provide assistance to local residents regarding ways to expolit wood, water, wind, solar, and organic energy sources.

A number of rural communities have been adversely impacted by rapid growth due to energy development, and some state programs are under way to assist these communities. Through revenues from its coal severance tax, the Montana Coal Board awards grants to counties, towns, and school districts. A number of the other states tax coal, gas, oil, and mineral extraction, but funds from these sources are either incorporated into the state's revenues or apportioned automatically to local units of government usually within the impact area.

Health

States have not been notably aggressive in promoting rural health programs. North Carolina is a leader in the field with its Office of Rural Health Services. North Carolina provides financial assistance to a limited number of rural health clinics and provides widespread information, advisory assistance, and technical assistance to local communities in developing medical care appropriate to their needs. California has a health service corps to recruit nurse practitioners and physicians to practice in rural underserved areas. Similarly, Nebraska has a Rural Health Commission under the Governor's office which has major concern for keeping medical students in the state after their education and training.

Housing

States are increasing their activity in rural housing:

- Vermont has a land development loan which provides low interest loans to local non-profit housing corporations to purchase and develop land for low-income single family dwellings.

- Colorado's Department of Local Affairs has an Urban and Rural Grant Program to develop housing for low-income persons.

- Minnesota's Housing Finance Agency provides rehabilitation grants for low-income families, financing for single-family new construction with a priority for rural areas, and Indian housing.

- West Virginia's Housing Development Fund has a low-interest, revolving loan program for low- and moderate-income energy-conserving housing agencies.

- California provides matching funds for the development of farmworker housing and provides loans to non-profit and public sponsors of rural low-income housing for preliminary costs necessary to secure sites and obtain permanent financing for subsidized housing.

- The Texas Housing Division of the Department of Community Affairs has instituted an intensive training program for housing coordinators.

For further information on state's roles in rural housing see "State Initiatives in Rural Housing" (1975) by the Housing Assistance Council, 1828 L Street, N.W., Washington, D.C. 20036.

Industrial Development

Over twenty states have industrial development authorities. A typical activity of such authorities is to make loans to local nonprofit industrial development corporations for part of the cost of constructing industrial plants. Such loans are often secured by second mortgages. In addition, the state authority may help in guaranteeing loans.

TRANSPORTATION

A number of states are looking beyond state and highway development by including in their transportation program provisions for public transportation. States which have significant and identifiable funds for rural public transportation include California, West Virginia, Pennsylvania, Michigan, Indiana, New York, Oregon, and Wisconsin. Other states provide funds for transportation planning and/or as matching for federal dollars.

WATER AND SEWER DEVELOPMENT

There are some 25 states which provide financial assistance for water facilities. A smaller number offer assistance programs for sewage facilities. Often, state funds are available solely for use as supplements to federal grants and loans. According to a survey conducted by the National Demonstration Water Project, 19 states have grant programs for water development; 15 have loan programs; and 9 have both loan and grant programs. Some state programs such as North Carolina, Ohio, and Vermont assist communities in planning.

CHAPTER THREE

FOUNDATION ASSISTANCE

"Foundation staff people are more often than not urban people who are unaware of the circumstances in which the specific rural (development) project is being conducted. If that foundation person can also be made aware of the need to stabilize population growth and distribution and inhibit future migration of poor, undereducated people to decaying urban areas, then those foundations' officers will become more interested in the rural approach being suggested."

Correspondence from Thomas W. Wahman of the Rockefeller Brothers Fund, March 7, 1978

I. Introduction

There are some 26,000 foundations in the United States today which together contribute about $2 billion every year to various philanthropic activities. Although this total is small in comparison to annual federal government outlays, it represents a significant source of funding for many private organizations and institutions active primarily in the areas of religion, health, education, social welfare, and the arts and humanities. Because foundations can be more flexible in administering their programs and can respond more readily to changing priorities than the federal government, they have become an increasingly attractive source of funds for programs in other areas as well, such as community and economic development. A growing demand for foundation grant funds in the last decade, coupled with their limited capacity to meet these demands, has created competition for these grants that is every bit as keen as that for federal funds.

While there are no magic formulas that can guarantee a grant-seeker absolute success in obtaining a foundation grant for rural development projects or programs, there are some basic procedures that can be followed to make the fund-raising process easier and improve the chances for successful grantsmanship. The purposes of this section are to provide perspective on foundations as private sector funding sources for rural development, to explain when and how to identify suitable foundations and approach them for funds, and to describe the basic informational resources that are useful in researching foundations.

II. Historical Background

To understand completely how private foundations operate today, it is necessary to understand the changes that have occurred in the foundation world since the passage of the Tax Reform Act of 1969. Prior to that time, there were virtually no laws regulating the establishment, development, or operation of private foundations.

Although a number of foundations were created in the early 1900's, about 95% of those in existence today were established after World War II. The tremendous increase in their number at that time, due largely to war-time profits and rising taxation, brought them under increasing public suspicion regarding the motives for which they were being created. Most of them adopted the catch-all description as a "general purpose philanthrophy" which left them free to dispense funds for a variety of purposes in the name of charity. Due to very vague, non-mandatory government reporting requirements, the potential existed for abuse of purpose by foundations which chose not to report their activities. In addition, the emergence of the Ford Foundation in the early 1950's as a major supporter of causes which were perceived as liberal and controversial heightened speculation about the exact nature and purposes of foundations during the McCarthy era and its aftermath.

The Passage of the 1969 Tax Reform Act was a result of nearly a decade of investigation directed by Congress to determine the differences between the genuine foundations -- those operating for charitable purposes -- and those which were operating mostly for

the purposes of tax evasion or other self-serving reasons. By imposing special taxes and public disclosure requirements on nearly all foundations, the Act ushered in a new era for foundations that has been characterized chiefly by a better public understanding of what foundations are and what they do. While there are many provisions of the 1969 Act that have had a bearing on the functioning of all private foundations, such as a 4% excise tax on investment income, limits on foundation ownership in business, and prohibitions on involvement in activities influencing legislation, there are two which are of greatest interest to potential grant-seekers.

The first of these is the requirement that they must distribute an amount equal to a percentage of their assets -- currently set at 5% -- each year in grants made for charitable purposes. The overall capacity of a foundation to make grants is thus determined by the size of its assets, which in turn is often related to the state of the nation's economy.

The second provision is one that requires nearly all foundations (those with assets over $5,000) to submit detailed reports to the IRS on how their grant dollars are being used. The resulting increased availability of information about foundation grantmaking activities has created greater public awareness of foundations as potential funding sources. This in turn has led to keen competition for foundation grants. Knowing when to consider foundations as a funding source, and how to approach them can favorably influence the chances for success in getting a foundation grant.

III. When To Seek Foundation Assistance ... And What To Expect

As mentioned in the previous chapter, the big "bucks" for rural economic development assistance lie within the public sector. If you have exhausted this avenue as a funding possibility or need additional support, then you may wish to seek foundation support. You may have already obtained public monies but need matching assistance, which foundation assistance may help provide. Or, you may have obtained conditional commitments from various sources and simply need another funding source to successfully "package" your proposal.

Regardless of the nature of your organization's needs, there are a few general rules that you can follow to improve your chances of gaining successful entry into the foundation world.

Before you send a proposal to any foundation, probably the most important rule to keep in mind is: DO EXTENSIVE HOMEWORK. Although this may take a considerable amount of time and energy, it will pay off in the long run to know as much about a foundation as possible before submitting a proposal for funding. "Shot-gunning" proposals to every foundation you've ever heard of wastes your time and does not bring results.

The basic information you should know about a foundation before submitting a proposal includes:

A. What type it is:

There are many ways to classify foundations, but the following five categories are the most commonly used:

(1) General purpose: This type includes most of the larger, better known ones which operate with a large staff and give funds in a variety of areas. Examples are the Ford Foundation and Kellogg Foundation. If you have large capital needs that cannot be met by governmental assistance, these kinds of foundations are your best bet. It is, however, often difficult to break into their funding pattern.

(2) Special purpose: This type restricts giving to a specific area of need, institution, cause or geographic area. The Robert Wood Johnson Foundation, which makes grants only in the area of health, is an example.

(3) Corporate/company: This type channels the philanthropic activities of a corporation. General Mills Foundation is one of these. They often limit their giving to locations in which the corporation or company has facilities. (See chapter on "Other Private Sector Resources" for additional information on corporate foundations.)

(4) Family: This type is typically set up by a living person or persons to serve as the vehicle for their charitable giving. Generally, they are initially small and function under the voluntary direction of family members. An example is the Florence and John Schumann Foundation. Family foundations often evolve into general purpose types when family dominance wanes, non-family trustees become involved, and a professional staff is employed to manage the foundation.

(5) Community: This type has multiple donor sources, such as numerous small, individual trust funds, and restricts giving to areas of social welfare, civic improvement and cultural affairs to benefit local or regional community life. The North Dakota Community Foundation is an example.

B. Its scope of interest.

The distribution of foundation support in broad general areas has remained fairly consistent despite their continually changing program interests and activities. According to the 1977 Foundation Grants Index, foundation grants of $5,000 and over (made by over 340 foundations) were distributed in the following

fields of activity: Education (26%); Health (22%); Sciences (17%); Welfare (13%); Humanities (9%); International Activities (11%); and Religion (2%). Some areas in which foundations are not involved, such as housing and transportation, are the areas which already receive considerable governmental attention.

Many foundations set particular program priorities as well in the chosen areas of their giving, and it is vital to know whether or not your proposal's objectives are consistent with one or more of these priorities.

It is important to note, however, that a foundation does not have to list "rural development" or rural anything to be a possible grantor of funds for a rural project or program. Foundations that make grants in areas such as community facilities, social services, education, etc. are often receptive to novel approaches, new ideas, different circumstances and special needs that are often presented to them by rural people. Unless you have specific information (from a reliable source) to the contrary, don't assume that a foundation won't fund a rural program consistent with its objectives just because it never has done so.

C. The types of organizations it funds.

Most foundations can give only to organizations with IRS tax-exempt status. Some have restrictions as well on the particular type of organization -- academic institutions, hospitals, etc. -- which they will fund.

Although most foundations support well-established organizations, some support new initiatives, i.e. seed money, at existing or newly-created institutions. Still other foundations have an ideological preference, some being politically conservative and others progressive.

D. Geographic restrictions or preferences for grant-making

A national foundation has no geographic restrictions and will make grants anywhere, although it is usually looking for proposals which will have "demonstration" or national impact potential -- either those with transferable value or an intrinsic value to society from which others will benefit. Some of these foundations may have geographic preferences such as Appalachia or the Southwest. Regional or local foundations, on the other hand, usually restrict their giving to a particular community, state, or region in the country, and are more likely to fund a proposal whose major objective is to benefit an organization or population in that particular area.

In identifying potential sources of funds for rural projects or programs, you should not limit the search to the larger or national foundations. They receive a disproportionately large share of applications, and can fund only a small percentage of them. Local or smaller foundations may be more flexible in their attention to a good proposal which does not exactly fit all their funding criteria. Moreover, if you can obtain some commitment for support from local foundations, it may be easier to apply leverage for a package of assistance from other foundations, since interest in your project has been demonstrated.

E. Whether it targets its funds to benefit a specific population.

This is particularly helpful to know if your proposal involves a particular population group, such as the aged, handicapped, or members of a minority. For instance, the Donner Foundation favors projects sponsored by Native American organizations.

F. Its limitations or restrictions on the types of projects/program activities it funds, and the dollar amount of its grants

A foundation's grant-making pattern is perhaps the single most important information to have. Some foundations, known as operating foundations, seldom make grants, but instead use most of their income to run their own programs or support their own institutions. Most foundations, however, do make grants for either general purposes, special projects, capital expenditures or research. As a practical matter a given foundation may limit the types of grants it makes to any one or combination of the above-listed purposes. Most foundations also have a certain range within which they make their grants. For example, some may not make grants over $10,000, in which case it would probably be a waste of time to submit a single proposal having a $100,000 budget.

G. Application deadlines and/or special procedures.

Knowing when a foundation's board meets to review grant proposals, the length of time between submission of an application and announcement of awards, and what particular format, if any, it prefers for proposals is important. Most of the larger foundations will have a staff and thus will have more systematic procedures for receiving and reviewing proposals.

There are two additional points to keep in mind as you research foundations to identify those most likely to fund your project or program.

First, you should try to obtain the most current information available on a foundation. Such things as name and address, staff members, assets (and thus, funds available for grants), and program priorities can change from one year to the next. While it might be interesting to know that a foundation funded five cooperatives in 1973, this would not be a good basis for judging what its current priorities are.

Secondly, you should make sure you obtain the most comprehensive information about a foundation before deciding whether to submit a proposal to it. Although knowledge about any one foundation characteristic mentioned above might enable you to eliminate the foundation as a likely funding source, you should be careful not to use any one piece of knowledge as the sole basis for submitting a proposal. For example, your proposal might be consistent with two of the foundation's current program priorities, but it may require more funds than the foundation has ever awarded

in one grant. Or, perhaps both the program purpose and grant size requested are consistent with foundation priorities and policies, but it gives 99% of its funds to colleges and universities -- and your organization is a private day care center. In any case, you can avoid unnecessary frustration by doing your homework thoroughly before approaching a foundation.

IV. Where to Find Information on Foundations

Researching foundations to identify those which are most likely to fund your proposal is a time-consuming and challenging task but not an impossible one. There are a number of valuable resources available which provide a wealth of information on foundations.

Probably the most abundant and reliable information on foundations is gathered and disseminated by The Foundation Center. This is an independent, nonprofit organization established in 1956 and supported by foundation grants, which collects factual information on foundations and makes it available free or at low cost to the public. Its three national reference centers in New York City, Washington, D.C., and Chicago, Illinois maintain standard reference books and guides relating to the foundation field; foundation annual reports in printed form and on film; and copies of all foundation IRS returns. In addition, there are numerous regional collections, housed in public, academic or foundation libraries throughout the country, which concentrate on maintaining foundation records, reports, and information relevant to the area of geographic coverage. The addresses of the national and regional collections are printed on page of this Guide. Users should telephone individual libraries for a current schedule of hours.

Following is a descriptive list of some of the major sources for foundation information. All of these can be consulted free of charge at the Foundation Center's national or regional collections. For those which can also be purchased directly by individuals or organizations, order and price information is included.

FOUNDATION DIRECTORY EDITION 6. Columbia University Press, 136 South Broadway, Irvington, New York, 10533. 1976. $35.00 plus $1.00 postage and handling.

Lists 2,818 foundations that have at least $1 million in assets or have awarded $100,000 or more in grants during the year of record. These foundations account for about 90% of foundation assets and 80% of the grants awarded by U.S. foundations. Includes the following facts about each foundation: name and address; phone number; type of foundation; date and place of incorporation; donor(s); purpose and activities; financial data (assets, gifts received, expenditures, total grants made, high and low grant); officers (including name of person to write for more information); whether or not annual report published; grant application procedures and frequency of board meetings.

The four indexes include: foundations by state and city; donors, trustees, and administrators; foundations; fields of interest.

FOUNDATION GRANTS INDEX 1977. The Columbia University Press, 136 South Broadway, Irvington, New York 10533. 1977. Annual. $20.00 plus $1.00 postage and handling.

Annual accumulation of the grant information and the recipient and key word subject indexes appearing in Foundation News (see following), plus 3,000 additional grants reported to the Foundation Center at year's end.

Provides detailed summaries of over 14,000 grants of $5,000 or more made by more than 340 major foundations, cross referenced by subject, key words and phrases, recipients, and foundations. Information about each grant includes: amount awarded, recipient name and location, grant authorization data, grant description.

FOUNDATION GRANTS INDEX - BIMONTHLY EDITION, published in Foundation News, by Council on Foundations, Inc., Box 783, Old Chelsea Station, New York, New York 10011. $20 annual subscription rate for Foundation News.

Published as a removable center section of the magazine. Gives currently reported foundation grants of $5,000 or more with recipient and key-word subject indexes. Each grant-listing includes same information as in the annual volume (see above). An average bi-monthly index lists more than 1,600 grant awards, totaling about $100 million.

COMSEARCH PRINTOUTS. 1977. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. Available as microfiche - $3 per subject prepaid; and paper printout - $11 per subject prepaid. (List of subjects available on request from Foundation Center).

Computer printouts in 57 subject areas listing 1977 grants by more than 340 major foundations. Wide-ranging list of categories includes fields within the arts, sciences, and humanities. Under each foundation name in each subject category are listed all of the grants made in that area by the foundation. Grant listings include recipient names and locations, and amount, date, and description of the activity funded.

FOUNDATION CENTER SOURCEBOOK PROFILES 1977-78. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. $150 Annual Subscription.

Provides analytical profiles each month of 40 foundations that have an annual giving over $200,000 per year and make grants on a national or regional basis. Each profile includes detailed, factual breakdown of each foundation's giving by subject area, grant type, and grant recipient type. Descriptions also contain basic information (address, contact, current financial data, officers, staff, history, foundation publications.) Three indexes cumulated monthly include: subject, types of support awarded, foundation names.

FOUNDATION GRANTS TO INDIVIDUALS. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. $12.00 plus $1.00 postage and handling.

Provides profiles of the programs of more than 1,000 foundations that will make grants to individuals. Contains information on foundation sources of funds primarily for scholarships, fellowships, internships, medical and emergency assistance, residencies and travel grants. Arranged by broad program areas, the book also includes a detailed subject index. Entries include the foundation's address, correspondence contact, assets, grants awarded, portion of the grant total awarded to individuals, the number of individuals receiving grants, application information, and a description of that portion of the foundation's program relating to individuals.

STATE DIRECTORIES OF FOUNDATIONS. See page 83 for current list with order information.

Many of these directories are based on yearly foundation information returns filed with the IRS or on those maintained by the state's Attorney General's Office. Although the depth of information provided varies with each directory, these directories are a particularly valuable source for finding out about the smaller, local-giving foundations which are not covered in any of the national directories.

FOUNDATION ANNUAL REPORTS. Free upon request from individual foundations.

About 400 foundations publish an annual report, usually free upon request. It is usually the best source for the most current and complete information on the foundation, including such facts as address and phone number; officers; objectives and grant application procedures; review of the year's grants with brief descriptions; financial data.

FOUNDATION ANNUAL REPORTS ON MICROFICHE. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. ($2 for individual cards. Special rates for series.)

The Foundation Center reproduces the published annual reports of approximately 350 foundations on microfiche cards. These are available in chronological series or individually by foundation name.

FOUNDATION ANNUAL REPORTS: WHAT THEY ARE AND HOW TO USE THEM. Annual. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. $2, or free with the purchase of any series of annual reports on microfiche.

Serves as an index to the foundation annual reports available on microfiche from the Center. Also useful as a guide to the foundations which issue separate annual reports that are publicly available; addresses and frequency of publication are noted.

IRS FORMS 990-AR AND 990-PF. Order individually by foundation on aperture cards (readable on microfiche reader) or paper photocopies; or in complete sets of aperture cards for yearly returns by state, from: Internal Revenue Service Center, P.O. Box 187, Cornwells Heights, Pennsylvania 19020.

These are the information returns that IRS requires of every private foundation with assets of $5,000 or more. The 990-AR includes information in ten general categories, including address, assets, and a complete list of all grants made or approved, with the name and address of each recipient and the amount and purpose of the grant. (The 990-PF is the private foundation equivalent to the 990-A form required from every nonprofit corporation. However, the 990-PF does not provide any additional information to that found on the 990-AR other than the salaries of paid staff and carry-over grants, and does not contain the list of grants found on the 990-AR).

THE FOUNDATION CENTER ASSOCIATES PROGRAM. $200 Annual Fee for individuals and organizations. The Foundation Center; Associates Program; Department P; 888 Seventh Avenue; New York, New York 10019.

Provides custom services to members including telephone references and weekly taped foundation news summaries via toll-free WATS lines, computer searches of the Center's three foundation data bases, and mail, photocopy and library research services.

ABOUT FOUNDATIONS: HOW TO FIND THE FACTS YOU NEED TO GET A GRANT, By Judith B. Margolin, 1977. Revised edition with 1978 addendum also available. The Foundation Center, 888 Seventh Avenue, New York, New York 10019. $3.00 prepaid.

A guide for use by new and experienced grant-seekers, which covers the fundamentals of researching foundations in a simple, step-by-step approach, and is organized in three sections: (1) foundations by name (if you already know the name, where to get further information); (2) foundations by subject interest (what to do when you need to know of helpful foundations in your field); (3) foundations by region (how to find out about foundations in your community or region). Tells how to use every tool available from the Foundation Center to accomplish all of the above steps.

"WHAT MAKES A GOOD PROPOSAL?" AND "WHAT WILL A FOUNDATION LOOK FOR WHEN YOU SUBMIT A GRANT PROPOSAL?" The Foundation Center, 888 Seventh Avenue, New York, New York 10019. Free for up to five copies apiece. For six or more copies prepayment of $.10 each, plus $1.00 postage and handling.

Each eight-page pamphlet offers helpful tips on proposal-writing for foundation grants.

OTHER SOURCES OF FOUNDATION INFORMATION

There are numerous foundation publications and information services available from private organizations other than the Foundation Center. It is not possible to provide a complete list of these; several of the better-known publications and services are listed below.

1978 FOUNDATION 500 AND FOUNDATION DATA FILES. Foundation Research Service, Inc.; c/o Douglas M. Lawson Associates, Inc., 39 East 51st Street, New York, New York, 10022. FOUNDATION 500 is $34.50 plus $1.50 postage and handling; DATA FILES are $5.00 each.

FOUNDATION 500 is an annual indexed listing of major grants made in the previous year by 500 top U.S. foundations. It lists grants by 67 subject categories and by the recipient's geographic location. Other indexes list each foundation's assets, dollar amount of grants, number of grants made, and average size of grants.

For more in-depth information on any of these 500 foundations, one may order individual FOUNDATION DATA FILES. Each file provides the foundation's annual report, listing of all foundation-funded organizations, biographical material on the foundation's trustees, and all pertinent current financial data.

NATIONAL FOUNDATION REPORTER; REGIONAL FOUNDATION REPORTER; NEWS MONITOR OF PHILANTHROPY; TRUSTEES OF WEALTH; TAFT CORPORATE FOUNDATION DIRECTORY. Taft Corporation, 1000 Vermont Avenue N.W., Washington, D.C. 20005. Cost for complete service: $395. Several of the publications available for separate purchase.

NATIONAL FOUNDATION REPORTER, published annually, provides comprehensive information on major foundations that make grants without regional preference; nine REGIONAL FOUNDATION REPORTERS profile major foundations that make grants in a specific geographic region. Individual reports in each publication contain information on history and policies of the foundation, application procedures, biographies of directories and trustees, giving level, sample grants.

NEWS MONITOR OF PHILANTHROPY is a monthly journal with recent foundation grants data and news of foundation events and activities.

TRUSTEES OF WEALTH gives biographical data on 6,500 philanthropic decision makers from more than 3,000 foundations in the U.S.

TAFT CORPORATE FOUNDATION DIRECTORY contains about 275 reports on the nation's top corporate foundations.

GRANTSMANSHIP CENTER NEWS. The Grantsmanship Center, 1015 West Olympic Boulevard, Los Angeles, California 90015. Six issues (1 year), $15.00.

Includes highly readable, informative articles on all aspects of the grant-seeking and grant-making process, in the private sector (foundations and corporations) and public sector (federal, state, and local governments).

GRANTSMANSHIP CENTER NEWS REPRINTS. The Grantsmanship Center, 1015 West Olympic Boulevard, Los Angeles, California 90015. Each reprint listed below is 24 pages: 1-10 copies, $1.55

each; 11-25 copies, $1.40 each; 26-100 copies, $1.25 each; 101 copies or more, $1.15 each.

Researching Foundations: How to Identify Those That May Support Your Organization, is a compilation of five articles which explains how to use the Foundation Directory, the Foundation Grants Index, 990 annual reports of all foundations and the Foundation Center's Regional Collections, with the address of each collection.

Researching Foundations, Part II, provides more information on identifying sources of foundation support: a step-by-step explanation of how to research foundations and a complete guide to two sources of foundation information -- state attorneys general's offices and state foundation directories.

Community Foundations: The Wave of the Future, is a comprehensive article that explains more about what community foundations are and includes a directory of them.

FOUNDATION NEWS. Council on Foundations, Inc., 888 Seventh Avenue, New York, New York 10019. Six issues per year, $20.00.

Contains articles on new developments in foundation program areas as well as the Foundation Grants Index-Bimonthly Edition (see above).

V. Approaching Foundations

After you have identified those foundation(s) which you think are the most likely funding source(s) for your proposal, the next important consideration is to personalize your proposal. The extent and exact nature of personal contact will depend on the particular foundation, but there are some general guidelines that can be followed.

A. The importance of personal contacts with foundations.

The best way to get in the foundation door is to try to find someone whom you know at the foundation or someone who can introduce you to a person connected with the foundation. This means you should look at the names and biographies of all the people connected with the foundation -- staff, board members and advisors -- to see if you can find someone you or your friends and colleagues know, or someone with whom you have something in common. It may also prove helpful to contact organizations that have been funded in the past by a foundation to which you are considering submitting a proposal. In addition to providing insights into the priorities, staff and other foundation characteristics, one of these groups might be able to help with an introduction by calling the foundation on your behalf. If you can find such a connection, it is usually not hard to get an introduction provided your idea is good, that it falls within the scope of the foundation's interest, and that you make it clear that you do not want your contact to make any special pleas for your project. All you want is an introduction; the project will stand on its own merits.

If you cannot find such a connection, your task is more difficult. If you call the foundation for an appointment, you will usually be told to write a letter or to send a proposal. And, if you send those materials, it is possible that (1) the particular person you sent them to may never read them, and (2) you may get a form reply saying that your project falls outside the scope of the foundation's interest (even if everything you've read about the foundation convinces you that this is not true).

The best way to get in the door, if you don't have an introduction, is to make an appointment by name with the person in the foundation most likely to respond to your ideas. A telephone call to the individual is the best way to proceed. (This may occur either 10 days or two weeks after the letter and proposal describing your project is submitted or before formal application is made.) The call should be made by the executive director of the organization or the head of the program for which funds are being sought.

B. The initial meeting.

The first conversation you have with the foundation is very important. Foundation people, by and large, are intelligent, and they are particularly knowledgeable about the areas of their foundation's interests. You will be asked a lot of tough questions that you should be prepared to answer. You will also want to involve the foundation official in the concept of your program. The best way to do this is to ask for the foundation's officers' assistance and advice. In this initial conversation, you should also be sure to get details on application procedures, deadlines, budget limitations, and any other special requirements.

You should leave this first meeting with a mutual promise to keep in touch, to develop your idea further -- if that is necessary, and to contact any mutually interested people who are suggested in the course of conversation.

C. Following up the initial visit.

After the first meeting, the next thing you should do is write a friendly letter of thanks for the meeting, reiterating briefly where things were left. You should then try to maintain a continuing dialogue. This can be done by pointing out articles or events of mutual interest, and by seeking the foundation official's comments on the development of your program concepts. When the foundation official makes specific suggestions, either incorporate them into your program design -- if the idea has merit -- or explain carefully why they should not be incorporated.

D. What to do while you're waiting for a decision.

Once you have submitted a formal application to the foundation, it may take many months before you receive a definitive response. Be sure to maintain your relationship with

your foundation contact. People respond to direct stimulus, and your application may get bogged down if you don't ask about it now and then. Don't be obnoxious about it; most foundation executives tend to be very busy. An occasional jog, however, can be a useful reminder.

E. What happens if you get a rejection?

Remember that most applications for funds are rejected. If you get a rejection, try to find out why. This information will help you with this foundation -- if you decide to reapply -- and with other foundations.

VI. Foundations That Fund Rural Programs

It is beyond the scope of this guide to identify specific foundations with a rural orientation. However, such a directory of major national and regional foundations is available from the National Rural Center. NRC's Directory of Private Funding for Rural Programs provides profiles of fifty-four foundations involved in making grants to rural programs. The foundations profiled are indexed alphabetically, by geographic area of grantmaking, and by subject area of grantmaking interest. The Directory is available from the National Rural Center, 1828 L Street, N.W., Washington, D.C. 20036 (first copy free, additional copies $2.00 each).

Obviously, the Directory does not provide information on the thousands of smaller foundations which make grants on a local level. To identify these foundations, you should visit the Regional Collection of the Foundation Center nearest you, and/or you should obtain a copy of the directory of foundations for your state or region. For easy reference lists of the regional collections and the state foundation directories follow.

THE FOUNDATION CENTER

NATIONAL LIBRARIES

The Foundation Center
888 Seventh Avenue
New York, NY 10019

The Foundation Center
1001 Connecticut Avenue, NW
Washington, DC 20036

FIELD OFFICES

The Foundation Center -
San Francisco
312 Sutter Street
San Francisco, CA 94108

The Foundation Center - Cleveland
Kent H. Smith Library
739 National City Bank Building
629 Euclid Avenue
Cleveland, OH 44114

NATIONAL COOPERATING COLLECTION

Donors Forum of Chicago
208 South LaSalle Street
Chicago, IL 60604

REGIONAL COOPERATING COLLECTIONS

ALABAMA

Birmingham Public Library
2020 Seventh Avenue, North
Birmingham 35203

Auburn University at Montgomery
Library
Montgomery 36117

ALASKA

University of Alaska, Anchorage
Library
3211 Providence Drive
Anchorage 99504

ARIZONA

Tucson Public Library
Main Library
200 S. Sixth Avenue
Tucson 85701

ARKANSAS

Little Rock Public Library
Reference Department
700 Louisiana Street
Little Rock 72201

CALIFORNIA

University Research Library
Reference Department
University of California
Los Angeles 90024

San Diego Public Library
820 E Street
San Diego 92101

COLORADO

Denver Public Library
Sociology Division
1357 Broadway
Denver 80203

CONNECTICUT

Hartford Public Library
Reference Department
500 Main Street
Hartford 06103

FLORIDA

Jacksonville Public Library
Business, Science, and Industry
Department
122 North Ocean Street
Jacksonville 32202

Miami - Dade Public Library
Florida Collection
One Biscayne Boulevard
Miami 33132

GEORGIA

Atlanta Public Library
126 Carnegie Way, NW
Atlanta 30303
(also covers Alabama, Florida,
South Carolina, and Tennessee)

HAWAII

Thomas Hale Hamilton Library
University of Hawaii
Humanities and Social Sciences
Division
2550 The Mall
Honolulu 96822

IDAHO

Caldwell Public Library
1010 Dearborn Street
Caldwell 83605

ILLINOIS

Sangamon State University Library
Shepherd Road
Springfield 62708

INDIANA

Indianapolis - Marion County Public Library
40 East St. Clair Street
Indianapolis 46204

IOWA

Des Moines Public Library
100 Locust Street
Des Moines 50309

KANSAS

Topeka Public Library
Adult Services Department
1515 West Tenth Street
Topeka 66604

KENTUCKY

Louisville Free Public Library
Fourth and York Streets
Louisville 40203

LOUISIANA

New Orleans Public Library
Business and Science Division
219 Loyola Avenue
New Orleans 70140

MAINE

University of Maine at Portland - Gorham
Center for Research and Advanced Study
246 Deering Avenue
Portland 04102

MARYLAND

Enoch Pratt Free Library
Social Science and History Dep't.
400 Cathedral Street
Baltimore 21201
(also covers District of Columbia)

MASSACHUSETTS

Associated Foundation of Greater Boston
294 Washington Street, Suite 501
Boston 02108

Boston Public Library
Copley Square
Boston 02117

MICHIGAN

Henry Ford Centennial Library
15301 Michigan Avenue
Dearborn 48126

Purdy Library
Wayne State University
Detroit 48202

Grand Rapids Public Library
Sociology and Education Department
Library Plaza
Grand Rapids 49502

MINNESOTA

Minneapolis Public Library
Sociology Department
300 Nicollect Mall
Minneapolis 55401
(also covers North and South Dakota)

MISSISSIPPI

Jackson Metropolitan Library
301 North State Street
Jackson 39201

MISSOURI

Kansas City Public Library
311 East 12th Street
Kansas City 64106
(also covers Kansas)

The Danforth Foundation Library
222 South Central Avenue
St. Louis 63105

Springfield - Greene County Library
397 East Central Street
Springfield 65801

MONTANA

Eastern Montana College Library
Reference Department
Billings 59101

NEBRASKA

W. Dale Clark Library
Social Sciences Department
215 South 15th Street
Omaha 68102

NEW HAMPSHIRE

The New Hampshire Charitable Fund
One South Street
Concord 03301

NEW JERSEY

New Jersey State Library
Reference Section
185 West State Street
Trenton 08625

NEW MEXICO

New Mexico State Library
300 Don Gaspar Street
Santa Fe 87501

NEW YORK

New York State Library
State Education Department
Education Building
Albany 12224

Buffalo and Erie County Public Library
Lafayette Square
Buffalo 14203

Levittown Public Library
Reference Department
One Bluegrass Lane
Levittown 11756

Rochester Public Library
Business and Social Sciences Division
115 South Avenue
Rochester 14604

NORTH CAROLINA

William R. Perkins Library
Duke University
Durham 27706

OKLAHOMA

Oklahoma City Community Foundation
1300 North Broadway
Oklahoma City 73103

Tulsa City-County Library System
400 Civic Center
Tulsa 74103

OREGON

Library Association of Portland
Education and Psychology Dep't.
801 SW Tenth Avenue
Portland 97205

PENNSYLVANIA

The Free Library of Philadelphia
Logan Square
Philadelphia 19103
(also covers Delaware)

Hillman Library
University of Pittsburgh
Pittsburgh 15213

RHODE ISLAND

Providence Public Library
Reference Department
150 Empire Street
Providence 02903

SOUTH CAROLINA

South Carolina State Library
Reader Services Department
1500 Senate Street
Columbia 29211

TENNESSEE

Memphis Public Library
1850 Peabody Avenue
Memphis 38104

TEXAS

The Hogg Foundation for Mental Health
The University of Texas
Austin 78712

Dallas Public Library
History and Social Sciences Division
1954 Commerce Street
Dallas 75201
(also covers Arkansas, Louisiana, New Mexico, and Oklahoma)

El Paso Community Foundation
El Paso National Bank Building
Suite 1616
El Paso 79901

Minnie Stevens Piper Foundation
201 North St. Mary's Street
San Antonio 78205

UTAH

Salt Lake City Public Library
Information and Adult Services
209 East Fifth Street
Salt Lake City 84111

VERMONT

State of Vermont Department of Libraries
Reference Services Unit
111 State Street
Montpelier 05602

VIRGINIA

Richmond Public Library
Business, Science, & Technology Department
101 East Franklin Street
Richmond 23219

WASHINGTON

Seattle Public Library
1000 Fourth Avenue
Seattle 98104

Spokane Public Library
Reference Department
West 906 Main Avenue
Spokane 99201

WEST VIRGINIA

Kanawha County Public Library
123 Capitol Street
Charleston 25301

WISCONSIN

Marquette University Memorial Library
1415 West Wisconsin Avenue
Milwaukee 53233
(also covers Illinois)

WYOMING

Laramie County Community College Library
1400 East College Drive
Cheyenne 82001

PUERTO RICO

Consumer Education and Service Center
Department of Consumer Affairs
Minillas Central Government Building North
Santurce 00908
(covers selected foundations)

MEXICO

Biblioteca Benjamin Franklin
Londres 16
Mexico City 6, D.F.
(covers selected foundations)

A BIBLIOGRAPHY OF STATE FOUNDATION DIRECTORIES

Compiled by
Lesley M. Stern, Librarian
The Foundation Center (April 1978)

ALABAMA (126 foundations).
A GUIDE TO FOUNDATIONS OF THE SOUTHEAST.
Volume IV: Alabama, Arkansas, Louisiana, Mississippi. Edited by Jerry C. Davis. April 1976. viii, 165 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation within each state. Index of officers. Available from Davis-Taylor Associates, Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $25.00.

ARKANSAS (104 foundations). See ALABAMA.

CALIFORNIA (335 foundations).
GUIDE TO CALIFORNIA FOUNDATIONS.
Prepared by Susan Clark Robinson, Patricia Tobey, and Mary Anna Colwell. 1976. viii, 235 p. Based on data from cooperating foundations or from 1974 records in the California Attorney-General's Office. Main section arranged alphabetically by foundation. Index of foundation name within either Northern or Southern California. Available from The San Mateo Foundation, 1204 Burlingame Avenue, Room 10, Burlingame, California 94010. $4.00 prepaid.

COLORADO (256 foundations).
COLORADO FOUNDATION DIRECTORY.
Prepared by the Junior League of Denver, Inc., the Denver Foundation, and the Attorney General of Colorado. 1978. 61 p. Based on 1975 and 1976 990-PF and 990-AR returns filed with the IRS and information supplied by foundations. Main section arranged alphabetically by foundation. Includes charts by assets, grants, and fields of interest. Available from Junior League of Denver, Inc., 1805 South Bellaire, Suite 400, Denver, Colorado 80222. $5.50 prepaid.

CONNECTICUT (590 foundations).
A DIRECTORY OF FOUNDATIONS IN THE STATE OF CONNECTICUT.
3rd Edition. Edited by John Parker Huber. 1976. xv, 168 p. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation, also lists of final returns, relocations, and changes. Indexes of geographical area, purposes of grant, and largest single grants. Available from Eastern Connecticut State College Foundation, Inc., P.O. Box 431, Willimantic, Connecticut 06226. $7.00 prepaid; otherwise $8.00.

DISTRICT OF COLUMBIA (282 foundations).
THE GUIDE TO WASHINGTON, D.C. FOUNDATIONS.
2nd edition. Edited by Francis de Bettencourt. 1975. x, 58 p. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of officers. Available from Guide Publishers, P.O. Box 5849, Washington, D.C. 20014. $8.00.

FLORIDA (487 foundations).
A GUIDE TO FOUNDATIONS OF THE SOUTHEAST.
Volume III: Georgia and Florida, Edited by Jerry C. Davis. 1975. 309 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation within each state. Index of officers. Available from Davis-Taylor Associates, Inc., Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $25.00

GEORGIA (340 foundations). See FLORIDA.

ILLINOIS (319 foundations).
ILLINOIS FOUNDATION PROFILES.
Edited by James H. Taylor. 1976. vi, 99 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of foundations. Available from Davis-Taylor Associates, Inc., Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $29.95.

INDIANA (334 foundations).
A GUIDE TO INDIANA FOUNDATIONS.
Edited by James H. Taylor. 1975. vii, 111 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of foundations. Available from Davis-Taylor Associates, Inc., Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $29.95.

KANSAS (205 foundations).
DIRECTORY OF KANSAS FOUNDATIONS.
Edited by Jeannine A. Cansler. 1975. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. No indexes. (1977 updated version also available). Available from the Association of Community Arts Councils of Kansas. 509 A Kansas Avenue, Topeka, Kansas 66603. $1.25

KENTUCKY (119 foundations).
A GUIDE TO FOUNDATIONS OF THE SOUTHEAST.
Volume I: Kentucky, Tennessee, Virginia. Edited by Jerry C. Davis. 1975. viii, 255 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation within each state.
Index of officers. Available from Davis-Taylor Associates, Inc., Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $25.00.

LOUISIANA (172 foundations). See ALABAMA

MAINE (62 foundations).
DIRECTORY OF MAINE FOUNDATIONS.
2nd edition. Edited by John Parker Huber. 1975. i, 27 p. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of city or town, interests, asset amount, and amount of grants. Available from Eastern Connecticut State College Foundation, Inc., P.O. Box 431, Willimantic, Connecticut 06226. $5.00 prepaid.

MARYLAND (278 foundations).
1975 ANNUAL INDEX FOUNDATION REPORTS.
(August 9, 1976). 33 p. Based on 1975 990-PF and 990-AR returns received by the Maryland State Attorney-General's Office. Main section arranged alphabetically by foundation. No indexes. Available from the Office of the Attorney-General, One South Calvert Street, 14th Floor, Baltimore, Maryland 21202. $3.20.

MASSACHUSETTS (533 foundations).
COMMUNITY GRANTS RESOURCE CATALOGUE:
A DIRECTORY OF PHILANTHROPIC FOUNDATIONS IN THE COMMONWEALTH OF MASSACHUSETTS.
Prepared by Steve Rubin and edited by Don Levitan. 1977. 82 p., appendixes. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of subjects. Available from Government Research Publications, Box 122, Newton Centre, Massachusetts 02159. $9.00.

MASSACHUSETTS (726 foundations).
DIRECTORY OF FOUNDATIONS IN MASSACHUSETTS.
1977. 135 p. Based on 1975 990-PF and 990-AR returns filed with the IRS. Prepared by Office of the Attorney General of the Commonwealth of Massachusetts and the Associated Foundations of Greater Boston. Main section arranged into two parts - foundations which make grants primarily to organizations, and foundations which make grants primarily to individuals. Appendixes of grant amounts, geographic restrictions, purposes, loans, non-scholarship loans, scholarships-restricted by city, scholarships-population groups, and scholarships-purpose restricted. Available from University of Massachusetts Press, Box 429, Amherst, Massachusetts 01002. $7.50 prepaid.

MASSACHUSETTS (960 foundations).
A DIRECTORY OF FOUNDATIONS IN THE COMMONWEALTH OF MASSACHUSETTS.
Edited by John Parker Bruber. 2nd edition. 1976. xii, 161 p. Based on 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of geographical areas and largest single grants awarded. Appendixes of additions including initial returns, relocations in Massachusetts, previously existing foundations appearing for the first time and deletions including final returns, relocations outside of Massachusetts, first edition foundations not included because of lack of data. Available from Eastern Connecticut State College Foundation, Inc. P.O. Box 431,

Willimantic, Connecticut 06226. $15.00 prepaid.

MICHIGAN (696 foundations).
DIRECTORY OF FOUNDATIONS IN THE STATE OF MICHIGAN.
Edited by Janet C. Huber. 1974. ix, 123 p. Based on 1972 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of foundations within cities, and purpose of grants. Available from the Dunham Pond Press, Storrs, Connecticut 06268. $10.00.

MICHIGAN (507 foundations).
MICHIGAN FOUNDATION DIRECTORY.
Edition II. Prepared by the Council of Michigan Foundations (and) Michigan League for Human Services. 1978. v, 89 p. Based on 1975-1977 returns filed with the IRS. Main section arranged in two parts: Section I is a listing of 291 Michigan foundations having assets of $200,000 or more and/or making grants of at least $25,000 annually (arranged alphabetically); Section II is a survey of Michigan foundation philanthropy. Appendixes are as follows: A. alphabetical listing of 507 Michigan foundations; B-1. listing of Directory of Michigan foundations arranged by city (out-of-state); B-2. Geographical listing of Michigan foundations arranged by city (Greater Metropolitan Detroit Area); C. terminated foundations; D-1. Survey of 106 Michigan foundations by field of endeavor; D-2. survey of 106 Michigan foundations by grants to private organizations and public institutions in Michigan; E is titled What Makes a Good Proposal and What Criteria Do Foundations Use in Assessing Proposals; F is Where to Get More Information. Available from Michigan League for Human Services, 200 Mill Street, Lansing, Michigan 48933. $7.50 prepaid.

MINNESOTA (571 foundations).
GUIDE TO MINNESOTA FOUNDATIONS.
Prepared by the Minnesota Council on Foundations. 1977. 73 p. Based on 1975 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by grant-making foundations; operating foundations; scholarship and educational foundations; recently dissolved foundations; largest foundations in Minnesota. Appendix of grants made by out-of-state foundations to organizations within Minnesota. Available from Minnesota Council on Foundations, Suite 413, Foshay Tower, Ninth and Marquette Avenues, Minneapolis, Minnesota 55402. $10.00.

MINNESOTA (598 foundations).
MINNESOTA FOUNDATION DIRECTORY.
Edited by Beatrice J. Capriotti and Frank J. Capriotti, III. 1976. 274 p., various additional pagings. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of donors, administrators and trustees, and banks and trust companies as corporate trustees. Available from Minnesota Foundation Directory, 101 Boy Scouts of America Building, 5300 Glenwood Avenue North, Minneapolis, Minnesota 55422. $250.00.

MINNESOTA (55 foundations).
MINNESOTA FOUNDATION DIRECTORY III: GUIDELINES AND DEADLINES.
Edited by Beatrice J. Capriotti. 1976. iii, 105 p. Based on data from cooperating foundations or from 1973, 1974 or 1975 returns filed with the IRS. Main section arranged alphabetically by foundation. No indexes. Available from Minnesota Foundation Directory III, Suite 305, Peavey Building, Minneapolis, Minnesota 55402. $50.00.

MISSISSIPPI (68 foundations). See ALABAMA.

NEW HAMPSHIRE (approximately 400 foundations).
DIRECTORY OF CHARITABLE FUNDS IN NEW HAMPSHIRE.
3rd edition. June 1977. Based on 1974-1975 records in the New Hampshire Attorney-General's Office. Main section arranged alphabetically by foundation. Indexes of geographical areas when restricted, and of purposes when not geographically restricted. Available from the Office of the Attorney-General, State House Annex, Concord, New Hampshire 03301. $2.00.

NEW HAMPSHIRE (138 foundations).
A DIRECTORY OF FOUNDATIONS IN THE STATE OF NEW HAMPSHIRE.
2nd Edition. Edited by John Parker Huber. 1975. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of city or town, areas of interest asset amount, and grants amount. Available from Eastern Connecticut State College Foundation, Inc., P.O. Box 431, Willimantic, Connecticut 06226. $5.00 prepaid.

NEW JERSEY (359 foundations).
DIRECTORY OF NEW JERSEY FOUNDATIONS.
Compiled by Janet A. Mitchell and Mary R. Murrin. September 1977. v, 81 p. Based on 1975 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of smaller foundations. Available from Janet A. Mitchell, P.O. Box 2313, Princeton, New Jersey 08540. $9.45 prepaid ($9.90 for New Jersey residents).

NEW YORK (950 entries).
NEW YORK FOUNDATION PROFILES.
Edited by James H. Taylor. 1976. 259 p. Based on 1974 and 1975 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of foundations. Available from Davis-Taylor Associates, Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $29.95.

NORTH CAROLINA (415 foundations).
A GUIDE TO FOUNDATIONS OF THE SOUTHEAST.
Volume II: North Carolina, South Carolina. Edited by Jerry C. Davis. 1975. x, 200 p. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation within each state. Index of officers. Available from Davis-Taylor Associates, Route 3, Box 289, Mt. Morgan Road, Williamsburg, Kentucky 40769. $25.00.

OHIO (42 foundations).
GUIDE TO CHARITABLE FOUNDATIONS IN THE GREATER AKRON AREA.
1st edition. Prepared by Human Services Planning Library. 1978. iii, 63 p. Based on United Way files, the Charitable Foundations Directory of Ohio, 990-PF and 990-AR returns filed with the IRS, and information supplied by foundations. Main section arranged alphabetically by foundation; includes section on scholarship foundations and section on proposal writing. Appendixes include list of recently terminated Akron area foundations, indexes of assets, grants, subject categories, and officers and trustees. Available from Human Services Planning Library, United Way of Summit County, P.O. Box 1260, 90 North Prospect Street, Akron, Ohio. $2.50.

OHIO (2,500 foundations).
CHARITABLE FOUNDATIONS DIRECTORY OF OHIO.
2nd edition. 1975. 135 p. Based on 1971-1975 records in the Ohio Attorney General's office. Main section arranged alphabetically by foundation. Indexes of counties, and purposes. Available from the Office of the Attorney-General, 30 East Broad Street, 15th Floor, Columbus, Ohio 43215. $4.00 prepaid.

OKLAHOMA (269 foundations).
DIRECTORY OF OKLAHOMA FOUNDATIONS.
Edited by Thomas E. Broce. 1974. vii, 304 p. Based on data from cooperating foundations or from 1971 and 1972 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Index of foundation grant activities. Available from University of Oklahoma Press, 1005 Asp Avenue, Norman, Oklahoma 73069. $9.95.

OREGON (331 foundations).
DIRECTORY OF FOUNDATIONS AND CHARITABLE TRUSTS REGISTERED IN OREGON.
Edited and compiled by Virgil D. Mills. Based on 1972 records in the Oregon Attorney-General's Office. Main section arranged alphabetically by foundation. No indexes. Available from the Department of Justice, 555 State Office Building, 1400 S.W. Fifth Avenue, Portland, Oregon 97201. $5.00 prepaid.

OREGON (282 foundations).
THE GUIDE TO OREGON FOUNDATIONS.
263 p. Based primarily on 1976 990-AR returns from IRS. Covers foundations, trusts, and scholarship funds based in Oregon, plus certain national foundations that are active Oregon givers. Includes detailed data on each foundation, several appendices, and an alphabetical index. Available from Tri-County Community Council, 718 W. Burnside, Portland, Oregon 97209. $7.50 plus 50¢ postage.

PENNSYLVANIA (1078 foundations).
DIRECTORY OF PENNSYLVANIA FOUNDATIONS.
1st Edition. 1978. Compiled by S. Damon Kletzien, editor with assistance from Margaret H. Chalfant and Frances C. Ritchey. xvi, 304 p. Based on 1975 and 1976 990-PF and 990-AR returns filed with the IRS and information supplied by foundations. Main section

arranged alphabetically within geographic regions. Appendixes on approaching foundations, program planning and proposal writing and broadening the foundation search. Indexes of officers, directors and trustees; major interests; foundations arranged alphabetically. Available from Friends of the Free Library (Attn. Directory); the Free Library of Philadelphia, Logan Square at Nineteenth Street, Philadelphia, Pennsylvania 19103. $11.00 prepaid.

RHODE ISLAND (117 foundations).
A DIRECTORY OF FOUNDATIONS IN THE STATE OF RHODE ISLAND.
2nd Edition. Edited by John Parker Huber. 1975. i, 39 p. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of city or town, interests, asset amounts, and amounts of grants (largest to smallest). Available from Eastern Connecticut State College Foundation, Inc., P.O. Box 431, Willimantic, Connecticut 06226. $5.00 prepaid.

SOUTH CAROLINA (131 foundations). See NORTH CAROLINA.

TENNESSEE (238 foundations). See KENTUCKY.

TEXAS (1,020 foundations).
DIRECTORY OF TEXAS FOUNDATIONS.
Compiled and edited by William J. Hooper. 1976. vi, 180 p. Based on 1974 data from cooperating foundations or 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of areas of interest and cities. Available from Texas Foundations Research Center, 306 West 29th Street, Austin, Texas 78705. $10.95 prepaid.

TEXAS (214 foundations).
THE GUIDE TO TEXAS FOUNDATIONS.
1975. 104 p. Based on data from cooperating foundations or from 1973 and 1974 records in the Texas Attorney-General's Office. Main section arranged into four sections: Dallas foundations, Fort Worth foundations, Houston foundations, and other cities. Within each category major listing of foundations with grants greater than $3,000 per year and brief listing of foundations with grants under $30,000 per year. Index of foundations. Available from the Southern Resource Center, P.O. Box 5593, Dallas, Texas 75222. $7.50 (includes postage and handling).

VERMONT (41 foundations).
A DIRECTORY OF FOUNDATIONS IN THE STATE OF VERMONT.
Edited by Denise M. McGovern. 1975. i, 24 p. Based on 1972 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of city or towns, interests, asset amount, and amount of grants. Available from Eastern Connecticut State College Foundation, Inc., P.O. Box 431, Willimantic, Connecticut 06226. $3.00 prepaid.

VIRGINIA (319 foundations). See KENTUCKY.

VIRGINIA (102 foundations).
VIRGINIA DIRECTORY OF PRIVATE FOUNDATIONS.
By the Office of Human Resources, Department of Intergovernmental Affairs. 1977. 70 p. Based on 1974 and 1975 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexes of foundations, geographical areas, and regions. Available from Department of Intergovernmental Affairs, Fourth Street Office Building, 205 North Fourth Street, Richmond, Virginia 23219. $2.00 prepaid.

WASHINGTON (458 foundations).
CHARITABLE TRUST DIRECTORY.
1975. 92 p. Based on 1974 records in the Washington Attorney-General's Office. Main section arranged alphabetically by foundation. No indexes. Available from the Office of the Attorney-General, Temple of Justice, Olympia, Washington, 98504. $3.00 prepaid.

WISCONSIN (700 foundations).
FOUNDATIONS IN WISCONSIN: A DIRECTORY.
Compiled by Barbara Szyszko. 1976. xiii, 263 p. Based on 1974 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Also listing of Employer Identification Numbers (EIN). Indexes of counties, areas of interest, and managers. Available from Marquette University Memorial Library, 1415 West Wisconsin Avenue, Milwaukee, Wisconsin 53233. $10.00 prepaid.

CHAPTER FOUR

CHURCH RESOURCES FOR RURAL DEVELOPMENT

"There is need in the rural areas for organized economic development that puts the preservation and development of the community itself high rather than low in the priority list; and the churches are beginning to see this need as one mandate of its own particular mission. And along with some leaders in government, some church leaders are beginning to recognize that there is no hope for the development of true human community in the cities of America apart from some new stability and health in the country's rural areas."

Donald W. Shriver, Jr. in
The Church and the Rural Poor,
edited by James W. Cogswell,
1975

INTRODUCTION

A number of rural community groups have found church resources an important tool for community and economic development. In recent years a concerted effort has been made by several major denominations to address the problems of rural poverty. However, more often than not, the rural focus of denominations is not clearly defined.

Some criticize the church's role in community and economic development as essentially reactive in nature, with too many "religious" strings attached. Others argue that the involvement of the church has been ten years in front of the federal government, particularly in the support of low-income cooperatives and community development corporations. Indeed, it is difficult to generalize about the church's role in developmental activities because the involvement of the various denominations differ greatly. Moreover, since churches have no comparable resource to the Foundation Center, information about church resources is scant.

The purposes of this chapter are to trace the evolution of the church's involvement in rural development, to suggest some points one should consider in seeking church assistance, and to provide information on many of the important programs offering assistance for rural development.

HISTORY

The forces shaping the involvement of the church in rural development are not easily discernible. In general, the concerns which have influenced the church's role in rural development include civil rights, hunger, and disaster relief.

1. Civil rights: The civil rights movement challenged the church to reassert its traditional affirmation of human dignity. Elements within the church, seeking to identify with minority concerns for justice, soon discovered that these aspirations had economic, social, cultural, and political dimensions. Particularly in the economic realm, denominational organizations responded by supporting low-income cooperatives, community development corporations, and minority business enterprises. By the fall of 1968, a reported $15 million had been committed by seven denominations and the National Council of Churches for economic development in urban and rural areas. In 1969, James Foreman presented a "black manifesto" to the churches calling for reparations for centuries of discrimination and neglect by the church toward minorities. Building on past experiences and in part responding to these demands, several denominations established self-development or racial justice funds. A number of these funds still exist, though some have expanded to focus on poor people in general, regardless of race.

2. Hunger: Generally speaking, the church has only recently addressed the problems of hunger at home. In some denominations the domestic focus of hunger programs grew out of global programs. The general and growing trend in funding hunger projects has been to look beyond "food pantry" relief efforts to programs which attack the root causes of development activities. Some view church interest in hunger as waning, while others feel that church programs are reaching full maturity, building the capacity to meet the challenge of hunger in all of its dimensions.

3. Relief: Most denominations have emergency funds available to provide relief during disaster or other short-rise situations. Growing out of involvement in emergency situations, there has been increased awareness on the part of denominations that often a "band-aid" approach is not adequate to meet the multi-dimensional problems faced by communities in distress.

CONSIDERATIONS IN SEEKING CHURCH ASSISTANCE

There are no lists of do's or don'ts in seeking church assistance. However, before pursuing church funds as a resource, some considerations should be taken into account.

* Church funding is limited. There are no concrete estimates of how much religious bodies are spending for rural development, but it is certainly less than even the meager amounts that private foundations are spending. Moreover, the actual grant amount to any one project is not apt to exceed $50,000 and is likely to be a good deal less.

* Why church funding? While some church funding sources for community and economic development do not require affiliation with their particular religious body, a number do have explicit or implicit requirements tying their assistance to some involvement of local or regional church bodies. Churches form a firm foundation in many rural areas as an enduring social base and natural community leader based on tradition and social services. Some rural organizations have direct or indirect religious ties or may cooperate closely with the local or regional judicatories. (The judicatory is the regional structure between local churches and the national body). Other groups view their purpose as an extension of the religious concept of mission. These organizations are naturally inclined to seek church support. Religious ties or background need not be a pre-condition for seeking church assistance. However, absent such affiliation, you should consider carefully why church assistance is being sought, and be sure that only those religious funding sources which do not require religious affiliation or ties are approached. Regardless

of affiliation requirements, almost all church funding sources are interested in how the projects they fund are furthering the principles of their faith, and thus, you should be in a position to address the broader religious principles which your project fosters, (e.g., promoting human dignity, meeting human needs, enhancing social justice, etc.).

* Judicatory or local church support. Apart from the consideration of project affiliation with religious organizations, there is also the usual requirement that projects have some degree of approval or support from local churches or at the judicatory level. The exact name of the judicatory body varies between denominations and includes districts, presbyteries, conferences, dioceses, synods, and associations. A number of denominations disburse a proportion of funds at the judicatory level. The major rationale for placing emphasis on local and/or judicatory support for a project is that national offices are short of staff, and those nearest the project should be in a better position to carefully evaluate the merits of the project. Those in the know offer conflicting advice as to the wisdom of contacting judicatory or national staff first, but regardless, before seeking assistance any potential problems in obtaining local or judicatory support should be flagged and dealt with.

* Access to national or judicatory staff. Unlike foundations, churches are not required to report their giving to the Internal Revenue Service, and are not likely to publicize their programs widely because of limited staff and financial resources. Hence, personal contacts are extremely important. Moreover, while a personal visit to New York or wherever the church organization is headquartered is not needed, you should be prepared to make long distance phone calls. Some of the larger denominations have field staff scattered around the country who may be contacted when they are in your area, saving time and providing better understanding of the church's objectives and resources. Responses to written inquiries are apt to be slow. National and judiciary staffs are often traveling or tied down by demanding schedules. The problem with telephone inquiries, on the other hand, is that the person you need to talk with may not be available at the time, and several calls may be needed to make the right contact. Nevertheless, phoning is the best method, and you should have several questions in mind when contact with the right person is made. First, briefly describe your project and inquire as to whether or not it falls under the program priorities and requirements of the religious funding agency. Second, if it appears that the agency is a potential funding source, inquire about application deadlines and whether or not funds are available for this year. Also, ask for program guidelines, application forms, annual reports, list of grantees, and any other written information on the program that might be

available. Third, inquire about the process for application - at what level should application be made (local, judicatory, or national), who will be responsible for reviewing the application, approximately how long will the review process take, and will on-site visits be made by local, judicatory, or national representatives of the church agency? Lastly, inquire about the need for local church or judicatory involvement. Again, this may simply involve the approval of local churches or judicatory staff, or it may require more direct ties to the particular denomination from which assistance is being sought.

* Other considerations. There are a number of concerns which are common to most church funding sources. These are not unlike those of national foundations. These concerns include: insuring that minority and/or poor people are involved in the planning and implementation of the project and that their problems are addressed; the proposal is unique and does not duplicate existing efforts in the community or area; there is potential to apply leverage for additional support as well as attaining self-sufficiency; goals are clearly articulated and a method for evaluating goal-attainment has been developed; and organizational and leadership capacity either presently exist or can be developed to carry out the project successfully. In addition, church funding sources are reluctant to fund capital projects such as construction and equipment or those that receive the majority of their support from federal funds. Most are hesitant to fund the operation of an existing organization and/or project. Usually, church assistance is for limited duration - a year or two - and if refunded for an additional year or more, it is likely that the amount will be less than the original grant. Lastly, the universal concern of church organizations is that violence is neither overtly nor covertly advocated or practiced by potential grantees.

MAJOR PROGRAMS

The previous discussion suggests general considerations regarding church funding, but it is also important to be aware of specific programs in which major denominations are involved. As previously stated, these programs do not fall nearly into particular categories. However, keeping in mind this caveat, it may be useful to group these programs under general headings. These include: 1) self-development/reconciliation, 2) hunger 3) loan funds, 4) emergency relief funds, and 5) regional church funds. For further information, general contacts are suggested for each of these categories.

I. SELF-DEVELOPMENT/RECONCILIATION

In response to a growing awareness on the part of church leaders to minority aspirations and demands, at least fifteen denominations created special "crisis funds". While some of these funding sources still exist, there is no longer a sense of "crisis" in the sole context of a black, urban crisis. Rather, in the seventies, race and religion or racial justice funds have been created to address the root causes of minority poverty and injustice, and this attention is focused on urban as well as rural communities. In addition, self-development funds have also been created, which seek to address the causes of poverty wherever it exists.

The Joint Strategy and Action Committee (JSAC).

JSAC is a coalition of denominational and national mission church agencies, which work collaboratively in areas of mutual concern. As an ecumenical, facilitation agency, JSAC has some capacity to respond to general inquiries regarding technical, informational, and financial resources available from various denominations for rural development. The major work of JSAC is done in committee. The two JSAC committees with rural emphasis include its Non-Metro Task Force (with primary emphasis on rural) and the Interreligious Housing Coalition (with secondary interest in rural housing). In addition, JSAC has a limited capacity to facilitate joint financial support for a project from two or more denominations. Grapevine is a newsletter published by JSAC ten times a year.

Contact: Joint Strategy and Action Committee
475 Riverside Drive, Room 1700-A
New York, New York 10027
212/870-3105

A. U.S. Catholic Conference - Campaign for Human Development is an action/education program seeking to attack the root causes of poverty in American society. It funds self-help projects for the poor and powerless, which give them a chance to change the institutions oppressing them and the strength to succeed within the existing social structures. The Campaign funds projects working for long-term solutions in the critical areas of economic and social development, education, health care, legal assistance, communications and housing.

Priority is given to:

a) Promising, innovative projects which demonstrate a change from traditional approaches to poverty by attacking the basic causes of the poverty and by effecting institutional change.

b) Projects which directly benefit a larger number of people than a few individuals.

c) Projects which generate cooperation among and within diverse groups in the interest of a more integrated and mutually understanding society.

d) Projects which indicate and document that as a result of CHD funding, there are short-range possibilities of generating funds from other sources or becoming self-supporting within the time lines established in the proposal.

Funds are allocated on a non-denominational basis. About one in eight grant applications is funded with an average grant of $50,000. The funding split is approximately 60% urban and 40% rural. In 1977, $7,050,000 was awarded in grants, with particular emphasis on social development.

Application Process: Application forms and criteria, guidelines, and annual reports are available from CHD. Assistance in filling out applications is available. Applicants wishing to be considered for this year's funds should submit applications by January 31, preferably before.

Contact: Campaign for Human Development
U.S. Catholic Conference
1312 Massachusetts Avenue, N.W.
Washington, D.C. 20005
202/659-6650

B. United Presbyterian Church - Self Development of People. The Self-Development of People program addresses the needs of poor and minority communities, domestically and internationally, in the fields of economic development, education, health and housing, and justice and legal aid. Projects are approved by a National Committee, which from 1970 through 1976 validated the funding of 80 domestic and 40 projects around the world, totaling $5.7 million. In addition, over the same period middle judicatory committees have annually used approximately $900,000 in the funding of over 1800 projects within their bounds. In 1976 approximately 20 domestic projects were funded for a total of $335,230. Considerable resources have been devoted to the self-development of people in distressed rural areas. Basic criteria for funding include: the proposal must originate within a community of need, long term goals must be addressed, change is sought, relationships are built with

surrounding institutions, self-sufficiency must be fostered, and clear goals and evaluation methods for measuring goal attainment must be stated.

Application Process: Application guidelines are available from the National Committee.

Contact: National Committee on the Self-Development of People
United Presbyterian Church
475 Riverside Drive, Room 1260
New York, New York 10027
212/870-2564

C. United Methodist Church - Minority Group Self-Determination Fund.

The Minority Group Self-Determination Fund provides 30% of its funds (approximately $1 million annually) for projects of community organizations which demonstrate broad-based community participation and membership, which have proven to be successful change mechanisms in the community, and which have been in existence at least one year. Only those proposals which demonstrate the principle of self-determination by ethnic minority groups will be funded. Priority is given to those projects which are committed to social change.

Application Process: Guidelines are available from the Commission on Religion and Race. Proposals should be submitted sixty days prior to the meeting of the Funding Committee (usually February, May and September). The maximum grant is generally $25,000, and funding is limited to three years. Commission staff will assist in the preparation of proposals, and before funding any request an on-site visit will be conducted.

Contact: The Commission on Religion and Race
Minority Group Self-Determination Fund
110 Maryland Avenue, N.E.,
Box 48-49
Washingotn, D.C. 20002
202/547-2271

D. Church of the Brethren - SHARE

SHARE seeks to relate to persons/groups in the United States who, because of degrading societal values related to their race, class or social and economic conditions, are unable to share equitably in the benefits of life in the United States. Primary emphasis

is placed on sharing financial and human resources with disadvantaged Afro-Americans, Anglo-Americans, Asian-Americans, Hispanic-Americans, and Native-Americans. Resources are committed for the purpose of community organizations and development, with specific focus on the following priority needs: energy, housing, food and nutrition, health care, education/communication, and economic development (job training/employment, credit union, minority business). Priority is given to projects representing creative strategies tailored to local conditions and needs. Indigenous control must be a fundamental principle of the project, evidenced in part by having a decision-making body comprised of a majority of persons indigenous to the groups which the project serves. Shared participation by other Brethren groups/agencies is desired. In 1977, 15 grants were provided in amounts between $4,000 and $18,000, totaling $123,600. Many of the projects funded had received SHARE grants in previous years.

Application Process: Guidelines for funding and a data form for funding proposals are available from the national office. Proposals should be written according to the outline presented in the data form.

Contact: SHARE
Church of the Brethren General Board
1451 Dundee Avenue
Elgin, Illinois 60120
312/742-5100

E. The Executive Council of the Episcopal Church - Coalition for Human Needs.

The Coalition for Human Needs will consider proposals falling into one or both of the following categories: 1) programs which address new and emerging needs relating to ethnic minority concerns in church or in community based programs; 2) programs which further social ministry and social justice concerns of the Episcopal Church. The Coalition brings together various ethnic and social ministries programs to address common issues and provide grant money for pilot programs. These programs include: American Indian/Alaskan Native, Asian, Black, Hispanic, Hunger, Housing, Social Ministries, and Appalachian. In addition, the Community Leadership and Development section of the Coalition provides training to assist programs which meet the Coalition's criteria. Training may involve one or more of these categories: administration, communication, community organization, economic development, fund raising, leadership,

management, proposal writing, accounting and financial control, marketing research and development, cooperative economics, agricultural specialties, and general training as identified.

Application Process: Guidelines and application forms are available from the national office.

Contact: Coalition for Human Needs
Episcopal Church Center
815 Second Avenue
New York, New York 10017
212/867-8400

F. American Lutheran Church - Development Assistance Program

The Development Assistance Program seeks to assist people working together in organized ways through the structures of society to assure their own development. Projects which have a reasonable probability of bringing about constructive change in social institutions and structures and in community conditions that shape the lives of people are considered. DAP grants are primarily used as seed money for projects of, by and for the poor and for minorities and projects which create a partnership entity between some segment of the American Lutheran Church and the poor and the minorities of the community. In 1977 nearly $300,000 was granted to local projects. In addition, each district of the American Lutheran Church has at its disposal $4,000 in discretionary funds which the district committee may draw upon in an emergency situation. (See also Hunger section).

Application Process: Application guidelines are available from the Development Assistance Program Committee.

Contact: Development Assistance Program Committee
The American Lutheran Church
422 South Fifth Street
Minneapolis, Minnesota 55415
612/231-6969

G. The Lutheran Church - Missouri Synod; World Relief

World Relief is a function of the Board of Social Ministry and World Relief of the Lutheran Church - Missouri Synod. While major priority for relief, rehabilitation, and development programs is on overseas projects, in the first half of 1978 twenty-four domestic projects were funded for a total of $24,100, and thirty-six Native American projects were funded for a total of $78,000.

Priorities for all programs are: 1) self-help, vocational training, feeding, and relief programs; 2) programs in which World Relief funds serve as seed money, or have a multiplier effect in attracting substantial support from other sources; 3) innovative programs in which the Lutheran Church - Missouri Synod churches and/or clergymen are directly involved.

Application Process: Guidelines for application forms are available from the World Relief Office. Three copies of the application and three copies of a written explanation or description of the program should be submitted either to the national office or the District Board of Social Ministry and World Relief. Endorsement by the District Board for all domestic grants is required. Application deadlines are April 30 or September 30.

Contact: World Relief
The Lutheran Church - Missouri Synod
Board of Social Ministry and World Relief
500 North Broadway
St. Louis, Missouri 63102
314/231-6969

H. American Baptist Churches/Progressive National Baptist Convention - Fund of Renewal.

The Fund of Renewal is a joint program of the predominately black Progressive National Baptist Convention, Inc. and the mainly white American Baptist Churches in the U.S.A., seeking to meet the most urgent human needs of four American Minority groups - Blacks, American Indians, Hispanics and Asian Americans. While the Fund has targeted much of its resources nationwide to educational ministries, approximately 200 projects at the local level have been funded to stimulate self-help and self-development. Local projects have been validated by local committees and fall into four general categories: 1) day care and pre-school facilities; 2) services for children and youth; 3) community resource programs; and 4) economic development programs. Some 17 of the projects might be termed rural, located primarily in the South, Southwest, Northwest, New York State and Maine.

Application Process: Local projects have already been accepted, and, therefore, no new applications are being accepted.

Contact: Fund of Renewal
American Baptist Churches
Valley Forge, PA 19481
215/768-2025

I. Christian Church (Disciples of Christ - Reconciliation)

The objective of Reconciliation in the Christian Church is to seek to find solutions to the problems related to race and poverty concerns in the United States and Canada. Priority of the General Reconciliation Committee is given to grants for national or multi-state programs and for programs related to racial minority congregations of the Christian Church which fit one or more of these categories: 1) strike at the root causes of poverty and racial discrimination; 2) seek to change systems (e.g., laws, institutions, company practices); 3) seek to have significant importance to racial minority congregations of the Christian Church; 4) seek to overcome the injustices which racial minorities and the poor still face; and 5) seek to achieve empowerment of groups with opportunities for self-development. Consideration is not normally given to requests for: capital expenditures, support to church program units which loans for business ventures or to liquidate indebtedness. Half the funds are administered by the General Reconciliation Committee, and the other half is administered at the regional (usually state) level for regional (state) or local projects.

Application Process: Applications made to the General Reconciliation Committee should be made by September 1. Application forms are available and must be submitted prior to consideration. Assistance in completing the form is available from national and regional staff. Inquiries regarding regional contacts and funding sources should be made to the national office.

Contact: Reconciliation
Christian Church
P.O. Box 1986
Indianapolis, IN 46206
317/353-1491

J. The Reformed Church in America - The Hunger and Development Programs of the Reformed Church are underwritten through Reformed Church World Service (RCWS). RCWS is not a separate agency but is integrated within the General Program Council of the Reformed Church in America. The RCWS Policy specifies three broad areas of concern: a) Relief of acute human need due to natural disasters; b) Response to sufferings brought about by human actions such as war, terrorism, and political crises; c) Programs in developing societies that deal with root causes

of hunger and poverty. Moving beyond relief the churches seek to encourage projects holding forth hope for socio-economic conditions that are built on justice and development of people's full potential.

In accordance with these guidelines, which are applicable both within the U.S. and overseas, RCWS supports a wide variety of projects around the world. These include agricultural development, well-digging and water development, legal assistance to the poor, programmed instruction in family planning, food distribution, self-help projects and advocacy for the liberation of oppressed peoples.

Application Process: There is no formal process.

Contact: Reformed Church World Service
Room 1827
475 Riverside Drive
New York, New York 10027
212/870-3073

K. Interreligious Foundation for Community Organization

The Interreligious Foundation for Community Organization is a church and community agency of the National Council of Churches whose mission is to help forward the struggles of oppressed people for justice and self-determination. Formed in the late sixties, it has channeled more than $5 million to groups working for social change. In recent years, its direct funding activities have been deemphasized, concentrating instead on technical assistance to community groups as well as research and action regarding issues basic to community organizers and oppressed people. Criteria for funding proposals include: indigenous control; relevance to specific local, regional, or national problems; creative strategies; ability to implement; potential for self-support; leadership development; and institution building.

Application Process: Funding criteria are available.

Contact: Interreligious Foundation for Community Organization
475 Riverside Drive, Room 560
New York, New York 10027
212/870-3151

II. HUNGER FUNDS

A number of denominations have funds earmarked for domestic hunger projects. In seeking to eliminate the root causes of hunger, a number of approaches are being supported. Apart from seeking to meet nutrition needs, a broad range

of human needs are being addressed. To some extent, this has entailed the support of projects related to social and economic development. Moreover, projects which are multi-dimensional in that they are related to food production as well as economic development are especially favored (e.g., community canning centers, farmer-to-market cooperatives, etc.).

Church funding agencies have many of the same concerns in funding hunger projects as they do in funding self-development/reconciliation projects. These include: participation by indigenous persons in the planning and implementation of the project; involvement of women and minorities; and empowerment of people to become self-reliant.

The Ecumenical Funding Table brokers support for hunger projects between more than one denominational funding source. The staff person from the National Council of Churches with the Ecumenical Funding Table can answer general inquiries about the involvement of the various denominations in the hunger field, preferably by phone.

Contact: Ecumenical Funding Table
Richard Kilmer, Director
475 Riverside Drive
New York, NY 10027
212/870-2307

A. United Presbyterian Church Hunger Program (New York City):

The Hunger Program of the United Presbyterian Church has five major emphases for domestic and international projects: 25% is for direct food relief, 55% for food and health-related development projects and 20% for education and interpretation, life-style modification, and influencing public policy. In the development assistance program area, project applications are considered from synods, presbyteries, and appropriate international, national and local agencies as well as certain other divisions of the United Presbyterian Church. Project proposals are considered in such areas as agricultural development, water resources, land use, population stabilization, efforts to alleviate the political and economic root causes of hunger, and health care which can be expected to assist the development of hungry people. General criteria include: have direct impact on food availability and production; address long-term root causes of hunger; relate directly to people; involve personal commitment by individual church members; be based on local determination and involvement; involve local and other sources of funding; work through existing hunger action structures be developed

in consultation with judicatories; complement existing programs; and involve ecumenical cooperative approach.

Application Process: Application, checklist for hunger proposals, and hunger fund criteria and guidelines are available from the national office.

Contact: Director, UPCUSA Hunger Program
The Program Agency
Room 1268
475 Riverside Drive
New York, NY 10027
212/870-3108

B. Presbyterian Church, U.S. - Task Force on World Hunger (Atlanta)

Since 1969 the General Assembly of the Presbyterian Church in the U.S. has had world hunger as a top priority concern. In 1977 the General Assembly Task Force on World Hunger funded 27 domestic hunger programs for a total of $135,222. Normally, only those projects within the bounds of the Presbyterian Church, U.S. are considered for funding (primarily in the South). Domestic projects are funded according to these priorities: production and marketing of food; local social development and community organization; economic development, non-agricultural; nutritional education and family planning; and public awareness and policy re agribusiness. Church involvement prior to funding is required which may take the form of initiating project development, brokering proposals to the Task Force, evaluating proposals, maintaining ongoing relationships with groups whose proposals are considered, etc. Normally, only $10,000 will be given to any one project per year, and under appropriate circumstances funds may be committed for more than one year contingent on a positive evaluation after the first year. Site visitation will be conducted by PCUS hunger action enablers and/or other persons knowledgeable in the area of the project, and appraisals of the project will be sent along with proposals to the appropriate presbytery or synod for its recommendation, which is necessary for Task Force funding. Hunger action enablers are PCUS clergy or lay persons employed on a part-time basis to do hunger-related issue identification, advocacy education, project development/ selection and project monitoring. Most hunger action enablers are assigned to the state they live in and report directly to the Hunger Task Force Coordinator.

Application Process: Guidelines for domestic hunger proposals are available from the Task Force on World Hunger. Proposals are usually considered three times yearly.

Contact: Coordinator, Domestic Hunger Program
Task Force on World Hunger
341 Ponce de Leon Avenue, N.E.
Atlanta, GA 30308
404/873-1531

C. United Methodist Church General Council on Ministries Hunger Program.

Hunger is a missional priority of the General Council on Ministries of the United Methodist Church for the 1977-80 Quadrennium. Funding goes primarily to churches and church-related organizations. While other organizations are not excluded from applying, they are given low priority.

Application Process: An advance special program content form is available from the General Council on Ministries. The recommendation of the United Methodist Annual Conference is desired.

Contact: General Council on Ministries
The United Methodist Church
601 W. Riverview Avenue
Dayton, Ohio 45406
513/222-2531

D. American Lutheran Church Development Assistance Program

As a part of its overall responsibility, the Development Assistance Program Committee provides a limited amount of assistance to local and regional hunger-related projects. Projects are considered which will provide: a) support for advocacy efforts by/with hungry persons toward public policy changes and improvement of public food programs' effectiveness; b) support for relating hungry persons to public food programs for which they are eligible, through outreach, referral, counseling, etc. The maximum grant amount will normally be $2,500. Grant requests must come from entities which are related to American Lutheran Church congregations or come as proposals recommended by such congregations. In 1977, projects were funded for a total of $50,100.

Application Process: Guidelines are available from the Development Assistance Program Committee.

Contact: Development Assistance Program Committee
The American Lutheran Church
422 South Fifth Street
Minneapolis, MN 55415
612/338-3821

E. American Baptist Churches in the U.S.A.

The American Baptist Church has limited resources under its hunger program for domestic projects. Therefore, only those projects which have been approved by the Ecumenical Funding Table will be considered by the World Relief Committee. Also, a letter of support from the judicatory stating their support of the project is recommended.

Contact: Mr. Matthew Giuffida
National Ministries
American Baptist Churches
Valley Forge, PA 19481
215/768-2000

F. United Church of Christ Hunger Action Fund

U.C.C.'s Hunger Action Fund allocates funds according to the following ceilings: up to 17% for constituency education and mobilization, up to 30% for public policy advocacy, up to 20% for aid and development, up to 8% for theological/ethical study, up to 5% for promotion of increased giving, up to 10% as contingency, and 10% for retention of next year's budget.

Favorable consideration is also weighted according to these criteria: 1) get at root causes of hunger; 2) seek seed money for launching innovative projects or programs, provided adequate provision is made for continued funding; 3) seek one-time grants rather than repeated funding; 4) relate to projects or programs dealing with the needs of women in the hungry world; and 5) seek funds to match Conference, instrumentality, or other agency funds. Applications are normally not recommended for food co-ops or emergency food shelves. In 1977 thirty-four project grants were awarded totaling $112,420, ranging from $500 to $7,900.

Application Process: An outline for grant applications is available as well as an annotated listing of grants awarded and guidelines and procedures for allocation of monies.

Contact: World Hunger Working Group
United Church Board for World Ministries
New York, New York 10027
212/870-2637

G. Lutheran Church in America - Domestic Hunger Appeal

Activities that are funded deal with domestic hunger concerns in one or both of two specific ways: the

immediate relief of hunger (emergency) or endemic needs (root causes). The criteria used in the selection of activities dealing with the immediate relief of hunger are: 1) the activity is urgent for the survivial of persons through the provision of food; 2) the activity has been carefully designed with appropriate attention to such elements as personnel, supplies, transportation and control. The criteria to be applied in the selection of development activities that deal with endemic need are: 1) the activity deals with root causes of endemic hunger, getting beyond mere symptoms of social, economic, political and spiritual problems; 2) the activity treats persons and communities holistically; 3) the activity is consistent with the lifestyle of the persons involved and is in harmony with the cultural patterns of the community in which it is set, with the result that persons and the community are able to take the next indigenous step in development and growth; 4) the activity involves local participation to such an extent that it is evident that the indigenous persons want and will cooperate with the activity; 5) the activity has been described carefully, with well-articulated and realistic objectives and goals and strategy.

Application Process: A formal application form is not used. A brief, descriptive proposal (3 to 4 pages, including a comprehensive budget section) is requested. Local and synodical endorsement is required unless the request comes from a national program and whose program serves a large region (i.e. self-help rural cooperatives, advocacy centers, etc.)

Contact: Director, Town and Country Ministry
Lutheran Church in America
231 Madison Avenue
New York, NY 10016
(212) 481-9692

III. LOAN FUNDS

According to the Joint Strategy and Action Committee, in 1972 there were ten denominations that had loan funds for minority economic development. Today, only the Presbyterian Economic Development Corporation is still in existence, and its resources are limited and committed for the duration of 1978. Growing out of the social unrest of the sixties, several denominations placed a certain percentage of their investments in revolving loan funds to assist minorities in the ownership and development of businesses and housing. Since funds were loaned on a high-risk basis and were not replenished, the resources of the various denominations dried up and interest waned.

A. Presbyterian Economic Development Corporation (PEDCO)

PEDCO was capitalized in 1968 with a one-time investment of the United Presbyterian Church. Its purpose is to make investments to minority, disadvantaged persons who could not otherwise get capital for such purposes and whose use of the money is likely to create new employment for economically disadvantaged persons, provide jobs, training and skills for the same people and generally provide a fall-out of economic betterment to such persons and the areas where they live. The maximum loan available from PEDCO is $500,000, with the maximum maturity of 15 years. Loans are channeled to minority enterprises or non-profit housing sponsors. In addition, the Witherspoon Development Corporation, as a subsidiary corporation to PEDCO, provides second round financing for expansion or improvement for existing businesses.

Contact: Presbyterian Economic Development Corporation, Inc.
475 Riverside Drive
New York, New York 10027
212/870-2125

IV. EMERGENCY/RELIEF

In response to a number of the pressing concerns highlighted in the sixties, a number of denominations expanded the use of relief funds to include domestic development. Funds are available from several denominations for demonstration purposes or to meet immediate needs. These funds are budgeted for at least 18 months in advance. Moreover, these discretionary funds are usually controlled at the judicatory level by the judicatory officer.

V. ECUMENICAL ORGANIZATIONS

Churches and church groups work through ecumenical agencies in various ways and at different levels. Included in the role of some state or regional ecumenical agencies is the capacity to broker financial assistance for a project among more than one judicatory. Some of these have formal applications. Some are quite open to creative ideas, while others are less so. The names, addresses, staff, and major activities of these agencies are listed in the Yearbook of American and Canadian Churches; 1970 (Nashville, Abingdon Press). Additional insight can be obtained from the Commission on Regional and Local Ecumenism, National Council of Churches, 475 Riverside Drive, New York, NY 10027. 212/870-2158.

Two regional ecumenical organizations provide assistance in meeting the socioeconomic needs of persons and their communities, and the Lutheran Resources Commission - Washington plays a national role as an ecumenical grants consultant agency.

A. Commission on Religion in Appalachia (CORA)

The Commission on Religion in Appalachia is an ecumenical coalition designed to develop a united approach to the Church's concern for poverty in the 13-state Appalachian mountain region - CORA works through task forces of church leaders to address particular issues and/or problems common to Appalachia. One element of CORA is the Appalachian Development Projects Committee which was established to raise and distribute funds to community-based organizations whose controlling boards are made up of at least 75% of the group being served. Funds are granted for the purposes of community organization, citizen advocacy, and economic or service development. The assistance offered can be both financial and/or technical. These goals criteria are applied in examining proposals: contributes to meeting basic human needs contributes to the building of community; contributes to institutional and systemic change; and contributes to self-determination and the empowerment of people. For the last three years a goal of $500,000 has been set annually, though this has not always been reached.

Application Process: Proposal outlines and criteria for project selection are available from CORA. The application deadline for proposals to be considered for the following calendar year may change from year to year, but in 1978 February 15 was the deadline.

Contact: Appalachian Development Projects Committee
Commission on Religion in Appalachia
864 Weisgarber Road, N.W.
Knoxville, TN 37919
615/584-6133

B. Tri-State Interfaith Development Enterprises, Inc. (TIDE)

Tri-State Interfaith Development Enterprises, Inc. is a ministry of the church to the socio-economic needs of persons and their communities. It is sponsored by judicatories of the church in Michigan, Minnesota, and Wisconsin. TIDE provides technical assistance to community leaders in those states to help them maximize their own monies and supplement them with available public and private funding.

TIDE has particularly focused assistance to the region's smaller Indian communities. In addition, TIDE has assisted distressed communities in developing low-cost housing, improving economic development, enhancing cultural development, and improving social services.

Contact: Tri-State Interfaith Development Enterprises, Inc.
Minnesota Church Center Building
122 West Franklin Avenue, Room 308
Minneapolis, MN 55404
612/871-8276

C. Lutheran Resources Commission - Washington (LRC-W)

LRC-W is an ecumenical grants consultant agency which will assist church sponsored agencies to find resources for projects to meet human needs of all kinds. These resources may be in the public or private sector. To qualify for LRC-W services your agency must have a relationship with one of the six church bodies which are currently members of the commission: The American Lutheran Church, The Lutheran Church-Missouri Synod, The Lutheran Church in America, The United Methodist Church, Presbyterian Church in the U.S., and the National Benevolent Association of the Christian Church (Disciples).

Contact: Lutheran Resources Commission-Washington
Suite 823, 1346 Connecticut Avenue, N.W.
Washington, D.C. 20036
202/872-0110

CHAPTER FIVE

OTHER PRIVATE SECTOR RESOURCES

"We believe that a corporation must become actively involved in facing and solving the social problems of America. Today's corporation must develop practical means of giving human needs the same status as profit and production. This does not mean that business will not continue to assume its responsiblity for making a profit for stockholders, insuring ample income for its management and providing quality products for its customers, but the positive and negative social forces at work in our nation today demand that the corporation make a philosophical and a material response to the other needs of the people and the community.

In the long run, this new task of the corporation will be in its own best interest, since it cannot prosper as fully or as long in a society frustrated by social ills and upheaval."

Walter A. Haas, Jr.
Chairman, Levi Strauss & Co.

INTRODUCTION

Creativity is the key to seeking and utilizing assistance from corporations and labor unions. Neither are prevalent in rural areas, and identifiable corporate and labor union programs of assistance are the exception rather than the rule. Nevertheless, the following sections of this chapter provide insight into the potential of these resources and how they might be tapped.

CORPORATE RESOURCES FOR RURAL DEVELOPMENT

Corporate giving is one source of private sector assistance that is often the subject of lively debate among fundraisers, corporate observers, government officials, and the general public. Opinions abound regarding the primary motives for corporate philanthropy, its potential for increasing significantly, and what constitutes "good" or "bad" giving. Although research has provided insights into some of these matters, it is hampered by the lack of consistent, detailed information from corporations themselves on what and how they give. Despite this limitation, information has been compiled which provides insights into the nature of corporate giving. The purpose of this chapter is to highlight some of the characteristics of corporate giving that put it in proper perspective as a potential funding source for rural programs and organizations.

Current statistics on contributions to philanthropic activities from the private sector indicate that the total amount contributed from corporations -- about $1.4 billion annually -- is less than amounts contributed by either foundations, individuals, or bequests. Only about 20% of those corporations that file income tax returns with the IRS report contributions, and of those only 3% are currently giving at the limit that IRS allows them to deduct from their taxes. The total picture that emerges from these and other statistics is, unfortunately, that corporate giving is not likely to increase either in the aggregate or individually by corporations. Therefore, the corporate sector should be considered primarily as an alternative source of funds or in-kind assistance that has limited capacity to fund rural programs or projects.

Characteristics of Corporate Giving Programs

Because there is no central repository of information on corporate giving programs, it is difficult to characterize them in absolute terms. There are, however, some general characteristics which should be considered by those interested in tapping corporate giving programs.

I. The Structure of the Corporation's Program

Most corporate giving programs are structured in one of the following ways:

A. The Corporate Foundation is a separate legal entity established by the corporation to "make gifts which may not be of sole benefit to the sponsor". Prior to the 1969 Tax Reform Act, the majority of business giving was accomplished through corporate foundations. Provisions in that

legislation lessened the tax advantage of private foundations and reduced the amount of corporate funds channeled through their foundations. However, the Act also made corporate foundations the most visible type of corporate philanthropy by requiring them to file details of their contributions annually with the IRS. The General Mills Foundation is an example.

B. Corporate Philanthropic Activities are conducted by nearly every company, whether it gives employee scholarships or provides support for a local or national organization. An example of this type is Equitable Life Assurance Society. Since 1935, corporations have been allowed to deduct their charitable contributions from their federal taxes in an amount not exceeding five percent of net income. (A 1964 provision allowed them to deduct donations made in one year over a five year period.) Finally, a 1953 court ruling established "indirect benefit" as a sufficient cause for corporate charity, and the era of "corporate social responsibility" was born.

In most companies, charitable contributions are handled by an individual or department such as public or community relations or affairs; contributions; executive or administrative offices; personnel. Some corporate giving programs are highly structured and have priorities or fields of interest similar to those of foundations. Others depend primarily on the philosophies of the individual in charge of contributions for their structure.

C. A combination of Corporate Foundation and Other Philanthropic Activities is found in many companies. Sometimes the foundation gives in one area, such as health, and other donations or activities are handled directly by the corporation. The two programs may share staff, such as the Levi Strauss Company's Community Affairs Department and Levi Strauss Foundation.

II. The Management of the Corporation

Most corporate philanthropy is the result of management's philosophy and direction. To the extent that ownership of a corporation is vested in any one stockholder (family, institution or other business), the corporation's management and its philosophy about giving will reflect the stockholder's views. As long as the philanthropic efforts do not detract from the ability of that corporation to make a profit, however, management can usually take the lead in deciding what, where, and how philanthropic activities should be undertaken. Much of a corporation's philanthropy can be understood by knowing what management's values and interests are.

III. Where the Corporation Gives

Corporations give because doing so is an investment that they anticipate will bring a profitable return to their company, whether in terms of improved employee relations, a better image in the community or deductions from income taxes. Most corporate philanthropic activities -- including corporate foundation grants -- are focused in the geographic areas or communities where the company has its facilities.

IV. Types of support*

Depending on management's philosophy about corporate social responsibility, the following types of assistance might be contributed by a company:

A. Outright gifts and grants can be classified in four ways:

1. The *"check out the door"* is usually a small gift, made with little plan as to how it falls within the philanthropic objectives of the company. Individuals in charge of branch facilities of a parent corporation may be given a certain amount of discretion and/or authority to make such contributions, such as purchasing tickets to a fund-raiser.

2. *General support contributions* to an organization are usually made by corporations without foundations. Newer or less established agencies may find this type of assistance difficult to obtain unless a direct link between the company and agency can be established.

3. *Programmatic grants* are usually made by corporations with foundations, because the foundation structure offers more latitude for program development by facilitating long-range planning. Some corporations that have a well-defined structure to their philanthropy also prefer to make these types of grants because they are identifiable, time limited, and can be evaluated.

4. *Corporate-sponsored projects* are fairly rare but are initiated by the corporation and carried out by a selected agency.

B. Matching gifts by employees to certain types of organizations is done by about 700 corporations. In the past this has been done primarily in the higher education field, but many contributions to the arts and hospitals are also made in this way. This type of contribution is more likely to be made to an organization that has widespread support among, or use by, a company's employees.

C. United Way gets about one-half of all corporate charitable contributions. The tendency of United Way or other federated drives to be monopolistic and exclusionary and urban-oriented can make breaking into corporate funding difficult if not impossible for a rural organization to accomplish. Unless you know otherwise, it might be possible to obtain some type of assistance from a corporation that also gives to the United Way.

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* The following information is excerpted with permission from the Grantsmanship Center from an article in the Grantsmanship Center News entitled "Exploring the Elusive World of Corporate Giving" by Jack R. Shakely (see bibliography for order information).

D. Released staff time/volunteering

In addition to the work many corporate executives do on behalf of United Way or charitable organizations many companies support other volunteer efforts of their employees. This may be done through a company incentive program, whereby the company financially supports community organizations in which employees volunteer. Some corporations will loan an employee to work full time for a non-profit organization or community group for a certain time, still paying his salary, or a company might focus all its employees volunteer efforts on a particular agency or programmatic area.

E. Gifts in Kind are perhaps the most valuable type of corporate support. Under the Tax Reform Act of 1976, corporations are allowed to deduct gifts from inventory based on the cost of the property plus one-half the appreciated value of the property (the difference between the manufacturer's cost and the retail cost.) In addition, some states are reportedly considering tax-relief legislation similar to that in Pennsylvania and Missouri which allow tax credits of 50% or more to corporate givers. Thus, it is better for a corporation to donate an inventory item than to declare an inventory loss. To take the deduction, the corporation must receive from the recipient organization a letter stating its tax-exempt status and that the property won't be re-sold and will be used for furtherance of the exempt purposes of the organization. The most important guide to these types of donations is to BE CREATIVE.

F. Program - Related Investments are loans or purchase of stocks or bonds in an organization that may be rather high risk financially but which is working in a program area that is similar to the philanthropic priorities of the corporation or its foundation. If the agency pays back the money, it is considered an investment; if it fails, it is considered a grant.

Identifying Potential Sources of Corporate Support

Because corporate giving is usually limited to those areas where the company has facilities, the best approach for a rural organization to take in tapping the corporate sector is to investigate the businesses in the community or nearby area.

The first step is to identify potential sources of support. Local Chambers of Commerce often publish lists or directories of businesses in the area, with basic information on each such as the type of business and name of the top executive. Other sources of information might be State Chambers of Commerce or State government economic development or commerce agencies. Many of these publish similar directories or references on businesses in the State.

After identifying local businesses, the next step is to find out as much as possible about them before approaching them for funding. Ideally, this should be done before personal contact is made, but because corporations are not required to report details

of their contributions it may be necessary to personally ask the company for the information needed.

If the company is a branch or affiliate of a larger corporation with headquarters elsewhere, you might glean some information about the company and the people who manage it from the resources such as Standard and Poor's Register of Corporations, Directors and Executives, the Dunn and Bradstreet Directories or Who's Who. These and other standard references on the business world can be found at a large public library or a business school of a university. If the corporation has a foundation, this can be researched and approached in the same manner as any other private foundation. (See Chapter on Foundation Assistance.)

One way to find out something about a local business' past record of contributions is to ask other organizations or community leaders about the company. It may also help you approach a company if you can get someone who knows the executive(s) to support your organization or program.

When you have gathered as much information about a company as time and your circumstances will permit, you should contact the local office and ask to speak to the individual in charge of contributions. If you are dealing with a local plant of a larger corporation or corporate foundation, remember that although the local executive may not make the final decision, his endorsement will certainly help your cause with headquarters. If you are dealing directly with the "headquarters" office, the need to present your case in the best possible way is that much more important.

In your first phone conversation, you should briefly identify yourself and your organization, and inquire about information the company has on a contributions policy or application procedure. Depending on the response, you will want to either send an introductory letter of request and follow up with a meeting, or simply make an appointment to make a formal presentation of your request.

A meeting with the individual in charge of "corporate giving" can be a good opportunity to publicize your program and, hopefully, obtain the type of support you are seeking from the company. Try to remember that the company is interested in contributions that are good investments, and will want to see how their contribution to your program will bring a profitable return to their business. It may help to bring along with you a Board Member who knows the company executive, or a community leader who has endorsed the program, or the person who will actually be in charge of the activity for which you are seeking support. Also, be prepared to answer the inevitable question, "What have other businesses (or foundations, churches, or government agencies) given?" It is also a good idea to request a specific dollar amount or be able to define exactly what type and amount of in-kind assistance you need.

A Final Note

Probably the most important considerations to keep in mind about corporate funding are to be creative and flexible. The formal approach may not work at all within a certain community or

its businesses, but the knowledge that your organization and a particular company have a mutual interest will.

Although the extent to which corporations have been involved in funding rural programs is unknown, numerous examples exist which prove that the corporate sector is definitely worth investigating.

-- the Ball Corporation has developed not-for profit canning units with community action agencies, and provides blueprints for modifications to fit the location, counselling, ongoing assistance, supervisor training, wholesale prices on jars, and a newsletter to all centers.

-- a local chain of independent service stations gave free gas and oil for two cars that had also been donated by a local dealer, for use by a rural community action agency in Pennsylvania.

-- a computer firm sold a computer at half price to a six-county consortium of local government officials, school boards and hospitals for its cooperative data processing center.

-- a tractor manufacturing firm in a southwestern Virginia county donated left-over wooden platforms to a county government, which had them sawed into smaller pieces that were then given to county welfare recipients to use as heating fuel.

Bibliography

In addition to the standard business reference works such as Standard and Poor's and Dunn and Bradstreet Directories, magazines or newspapers such as Forbes, Business Week and the Wall Street Journal will keep you informed of business developments on a broad scale. There are also a number of books and magazine articles which provide insights into corporate social responsibility in general and the art of tapping corporate giving programs.

PHILANTHROPY AND THE BUSINESS CORPORATION, by Marion R. Fremont-Smith. Published by Russell Sage Foundation, 230 Park Avenue, New York, New York 10017. (1972) $3.95.

This book provides an excellent in-depth explanation of the historical developments that have shaped corporate social responsibility as it is currently conceived.

THE HANDBOOK OF CORPORATE SOCIAL RESPONSIBILITY: PROFILES OF INVOLVEMENT. 2nd Edition (1975). Compiled and Edited by Human Resources Network, 2010 Chancellor St., Philadelphia, Pennsylvania.

This is the only Directory of corporate giving programs. Information supplied by over 200 corporations is provided on 743 programs.

GIVING USA 1977, American Association of Fund-Raising Counsel, 500 Fifth Avenue, New York, New York 10036.

A compilation of facts and trends on American philanthropy for the preceding year.

EXPLORING THE ELUSIVE WORLD OF CORPORATE GIVING, by Jack Shakely, available as a reprint from the Grantsmanship Center News, 1015 W. Olympic Boulevard, Los Angeles, California 90015. 1-10 copies, $1.25.

This article is a highly readable account of the nature of corporate giving. Beginning with a summary of the history of corporate philanthropy, the author proceeds to offer numerous insights on how to research corporate giving and approach corporations for funds. Includes a bibliography and list of organizations that deal with corporate giving.

FURTHER EXPLORATIONS OF THE ELUSIVE WORLD OF CORPORATE PHILANTHROPY, by Robert Bothwell, in the Grantsmanship Center News, Issue 24 (March-April 1978), p. 57-61.

A response to Jack Shakely's article that provides additional insights and a somewhat different perspective on corporate giving.

BIBLIOGRAPHY OF CORPORATE SOCIAL RESPONSIBILITY: PROGRAMS AND POLICIES. Vol 6. Bank America Corporation, 1977. Available from Editorial Services, Bank of America Center, Box 3700, San Francisco, California 94137. $2.00.

This is a guide to published information -- news releases, speeches, articles -- about corporate social responsibility, by subject area.

UNION RESOURCES FOR RURAL DEVELOPMENT

Part of the historical philosophy of labor unions is that the organizations exist to help members and their families meet all their needs for a better life. Official mission statements, such as the following which appeared in the Clothing and Textile Workers (ACTWU) publication, Labor Unity, often include expressions of commitment to community service:

> *The Union is a resource. It can provide important services to members that are indirectly related to collective bargaining, but have an important bearing on the union member's family life, economic security and contribution to society.*

Labor unions are not as well established or as powerful in rural areas as they are in many cities, but there are notable exceptions. Particular unions, such as the United Mine Workers, operate mainly in rural areas; and as nonmetropolitan areas attract more industry, union activity is likely to increase. The building trades unions often have members working in rural areas, especially when larger projects, such as dams and highways, are built there. Wherever unions are present in a community, they can and do

participate in many community projects.

The local union is the basic unit, and in most instances would be the point of contact for any community effort. The national unions vary considerably in size and range of activities. Generally, however, their primary focus is on collective bargaining and legislation which directly affects the status of workers. Most unions do have political action arms, and some have departments of social or community services.

AFL-CIO Affiliated Unions

The AFL-CIO, which is the federation to which most national union organizations belong, has a department of Community Service Activities (CSA) within its national structure. This department oversees and coordinates the federation's participation in community service and development activities, which range from a network of liaison and representatives with governmental and voluntary agencies (including the Boy Scouts, the Red Cross and United Way of America) to sponsorship of a ten-city demonstration alcohol rehabilitation effort.

At the community level, an individual union local of AFL-CIO central labor council may form a Community Services Committee which may operate union counselling courses or programs such as strike or disaster assistance. In addition, a dozen functioning AFL-CIO-CSA labor agencies have been organized. They comprise a service delivery mechanism which is eligible for United Way, foundation or government funding and which may contract with other social agencies for services needed by the whole community.

Through this structure, through local union projects, and in coordination with other groups, union members have contributed in various ways to their communities:

- As volunteers, union members helped rebuild Xenia, Ohio, which was struck by tornados in April, 1974.

- In Anacortes, Washington, the Oil, Chemical and Atomic Workers formed an ambulance department for the local hospital, with members serving as volunteer drivers, trained in emergency medical techniques.

- The Clothing and Textile Workers Union operates some day care centers, linked to plants where they have a contract. The first of these opened in Verona, Virginia in 1968.

- Various unions have retirement housing developments in cities such as Cleveland, Ohio.

- A consumer protection/complaint resolution service was established in Dubuque, Iowa.

- The Labor Youth Sponsorship program in Fort Worth, Texas placed 32 youth offenders in jobs, provided 7 with free medical care and placed 5 in foster homes in its first nine months.

Most national unions have scholarship awards programs and publish periodic newspapers which include columns with useful information on consumer problems, health, safety, legal issues and even recreation or food preparation. Many participate in programs through which their members are trained in emergency medical care techniques or disaster response.

A major effort of the AFL-CIO is in employment outreach and training through the Human Resources Development Institute (HRDI). HRDI staff are based in over 50 cities and work closely with business, government and community groups to develop employment and training programs.

HRDI has also been involved in economic development and employment programs in Alaska, and administers a program which helps members of the Navajo tribe prepare for construction jobs. It also operates other career education, veterans assistance, skill upgrading and referral projects.

HRDI is responsible for the administration and coordination of 22 Apprenticeship Outreach Programs designed to recruit youth, primarily minorities, and prepare them for apprenticeship programs. RTP (Recruitment-Training-Placement, Inc.) and the A. Phillip Randolph Institute (APRI) are organizations structurally independent of the unions, but which work closely with them toward these same objectives. Both organizations maintain field offices scattered across the nation, some in smaller communities.

Of particular interest for rural development is the outreach effort being conducted in the counties of Alabama and Mississippi through which the Tennessee-Tombigbee Waterway is being built. The purpose of the effort is to insure that the rural people who live in the area will benefit directly by holding some of the jobs created. To do this, they had to have access to training in the skills required for the construction work. Over 200 local people have completed pre-apprenticeship programs to date; many have gone on into regular apprenticeship, and many more are using the skill training they got in other employment. This approach is now being applied to employment opportunities created in other rural areas by large federal public works projects.

AFL-CIO
Community Service Activities Department
815 - 16th Street, NW
Washington, DC 20006
(202) 637-5000

Human Resources Development Institute
815 - 16th Street, NW
Washington, DC 20006
(202) 638-3912

Recruitment Training Program
162 Fifth Avenue
New York, NY 10010
(212) 691-0600

A. Phillip Randolph Institute
21 M Stree, NE
Washington, DC 20002
(202) 789-0692

Unaffiliated Unions

The United Mine Workers (UMW), a union not affiliated with the AFL-CIO, has been unusually active in community development activities. Often mine workers, active and retired, may make up most of the population of the towns in which they live, so for them, the union serves even more as the social as well as economic center for community life.

Under union auspices a unique approach to health care provision was begun with the creation in 1946 of the union-controlled Health and Retirement Fund. The Fund supported clinics throughout the coal fields and even operated hospitals at one time. The Fund was backed by a levy on each ton of coal produced, and its support enabled over 50 coal field communities to establish clinics. The new contract has changed the status of the Fund, so its continued role as a source of backing for these efforts is unclear.

The union also participates actively in housing development efforts in Appalachia. The Eastern Kentucky Housing Development Corporation is an example of a cooperative effort between union locals and coal companies to which each contribute financial resources and direction through participation on the Board of Directors. The Corporation negotiates to procure land and construct dwellings by obtaining federal housing monies (Farmers Home Administration loans, etc.) which enable local residents to purchase their homes. Other Housing Development Corporations in the Appalachians and elsewhere operate similarly.

In McDowell County, West Virginia an effort of this kind has recently resulted in the construction of the first new homes to be built in the area in twenty years, and the first ever not constructed by the coal companies. In this case, and typically, some of the units are low income housing and the rest are moderately priced. This particular effort also included construction of a solar demonstration home, the first to be built in the state.

United Mine Workers
900 - 15th Street, NW
Washington, DC 20005
(202) 638-0530

Another unaffiliated union, the United Auto Workers (UAW), has a long history of support for efforts to improve opportunities for human development. In the past, they have contributed financially and with gifts of equipment and supplies to poor communities and individuals in Africa, Latin America, and other less developed countries, as well as in Appalachia and the Mississippi Delta.

The union works through UAW Community Action Committees on the local level, and has a 40-member national Community Action staff spread out in regional offices across the United States. The committees and the regional staff are contact points for

requests for assistance with problems of many kinds: from planning workshops and seminars to improving housing, health care or anything basic to the quality of life. Each request is evaluated individually. If there is no UAW local in the immediate area, requests should be directed to the Community Action staff in the nearest regional office or to the national UAW office.

Social, Technical Education Program (STEP) is another mechanism through which the UAW seeks to make resources available. STEP is a program now being reemphasized by the union, through which surplus, used or discarded equipment and supplies are collected and donated to organizations or communities which can use them to help persons in need. STEP has concentrated on making medical and pharmaceutical supplies and equipment available, but also collects toys, textbooks and other items for redistribution.

United Auto Workers
1125 - 15th Street, NW
Washington, DC
(202) 296-7484

Social, Technical Education Program
8000 East Jefferson
Detroit, MI
(313) 926-5000

The Union Local in the Community

Individual union locals of both AFL-CIO affiliated and non-affiliated unions are still the basic unit for decisions on what programs to support and what type of involvement to undertake. Many union locals support nationwide efforts such as disaster relief funds, but also are very active in local causes. They often sponsor Scouting troups or Little League teams, participate in immunization programs or blood drives, raise money for local clinics, day care centers or special causes, or provide a forum for the dissemination of information or appeals on behalf of such causes.

The most important role unions may currently play in rural development is by virtue of their existence as organizations in areas where formal organizations may be few. Union locals in a community may provide one of the best available means of contacting a sizeable group of people. As a body they may be approached to help publicize an effort or recruit persons for more direct involvement in a project. Because union members have some experience in participating in cooperative efforts they can be valuable assets in the process of getting a project going. Union officials often have particular knowledge about organizing, record-keeping, holding meetings and other aspects basic to many projects.

While unions do not usually have money set aside at the national level to fund development projects as such, local unions will often vote to contribute money to local efforts. It is more usual for a union's contributions to go toward a political effort or a special benefit for a charitable cause, but they can be approached similarly for community development projects.

Union members as individuals and union locals as a whole often contribute labor, especially in their craft, to a cause. Communications workers may staff phone banks for a fundraiser, construction locals may donate time to build a needed community facility, or other union members may acquire special medical training through a program sponsored at the national level.

To tap any union's resources it is best to contact locals of whatever unions are active in the community and which might be interested in your project. If there are unions which might be able to help with your project but are not present in the community, the state or local AFL-CIO or national and regional offices of a particular union may be approached. In addition, the state or local Building Trades Councils, which are consortia of local construction craft unions, may be contacted for assistance.

Addresses and phone numbers for national unions are printed in the Directory of National Unions and Employee Associations published by the United States Department of Labor, Bureau of Labor Statistics, available at libraries or from the Government Printing Office, Washington, DC.

CHAPTER SIX

BUILDING CAPACITY FOR RURAL DEVELOPMENT

"... a rural development strategy should increase the options available to people and provide better information for making choices."

Ray Marshall in Rural Workers in Rural Labor Markets, 1974

BUILDING CAPACITY FOR RURAL DEVELOPMENT

INTRODUCTION

Few rural communities have the capacity to plan, secure resources for, implement, and evaluate projects or programs which meet community needs without some outside assistance. These assistance needs vary greatly and may include general needs such as planning, resource identification, grantsmanship, community organizing, and leadership development; or more specific and technical needs which may be met by legal assistance, business development assistance, infrastructure development assistance, and management-related training and assistance.

While capacity-building has no simple definition, it involves a process whereby rural citizens, leaders, and local governments are enabled to identify their own problems and opportunities and to organize effectively the various resources and actions needed for the attainment of their goals.

This chapter discusses the process of capacity-building and types of assistance providers and identifies some of the major agencies, institutions, and programs providing different kinds of technical assistance of a capacity-building nature for rural communities.

OBTAINING OUTSIDE ASSISTANCE

Almost every rural leader needs outside assistance at some point. This is often necessary in order to obtain additional expertise or experience without bringing on new staff, or to obtain objective recommendations regarding planning, management, evaluation, and other matters. Outside assistance is often referred to as technical assistance.

Technical assistance encompasses a broad range of services rendered by outside individuals, organizations, institutions, and agencies. Technical assistance in its broadest sense need not be technical and complex. Indeed, the type of assistance needed by rural leaders is often rudimentary in nature and is required before taking on more complicated tasks and receiving specialized assistance. Assistance of a more general nature may be more difficult to obtain or utilize largely because the requestor is often unable to articulate the nature of the assistance needed, creating a situation in which an assistance provider is apt to be either too meddlesome or ineffective. Hence, it is important to know what you need help with and to carefully evaluate the potential usefulness of a given assistance provider with roles carefully defined.

The following is some good advice from the Youth Project, gleaned in the course of researching a directory of technical assistance providers that assist nonprofit organizations in the San Francisco Bay Area. The tips provided focus on how nonprofits should contract with private consultants; nevertheless, they have relevance to a broad range of assistance users and providers.

The following is reprinted with permission from the Youth Project in HELP: A Directory of Service for Nonprofit Organizations, 1976, pp. ix and x.

First, clarify your situation. Talk in problem and need terms, not in solution terms. Ask yourselves:

- *What's the problem?*
- *Do others in your organization see the problem the same way?*
- *What do you want to do?*
- *Do you need outside assistance to accomplish it?*
- *How much can you do yourselves?*
- *What do you need outside help with?*

Consultants should be able to serve in an objective capacity because they are not likely to be affected by the organization's solution. Therefore, they have greater freedom to see different answers to your questions and to get clear about needs, priorities, counter productive patterns, and help the group develop a long-range view. The value of some consultants is their outside perspective. The value of others is the specialized expertise they bring to bear on your needs. But don't expect to be "saved"; a consultant isn't a magician. Shop around for the right consultant for you. Don't be afraid to negotiate. Word of mouth is the most common way to find a consultant, so it's wise to ask other nonprofits who they've used in areas closely related to your needs. And ask your funding source for recommendations.

But, remember, consultants tend to see the world from their point of view and, if you're not clear about your needs, may define your problems in terms of the service they sell: Ask an architect, you get a house. At the first meeting, ask for:

- *A resume or portfolio to see whether the consultant has the right experience for what you need. Also get copies of reports, manuals, studies, work plans, and training programs from other jobs they've done.*
- *Names and phone numbers of former clients, especially nonprofits in your field. Contact these groups and ask for an appraisal.*
- *The consultants' ideas on how they will handle your need and what the tangible results will be.*
- *A meeting with the people who will perform the work to ascertain how much time and interest they have for your job.*
- *An estimate of the full cost of the assignment, and the payment schedule.*

Be sensitive to your compatibility with the consultant: Do you like them? Do you communicate well? The client's personal assessment of the consultant is a big deciding factor. Trust your instincts.

If you think you want to hire the consultants but aren't sure, you might hire them for a few days for a trial run or sign an incremental contract. If they meet your needs, you can later move into a longer contract.

Usually, you don't ask a consultant to submit a formal proposal unless you're considering a large contract. Most commonly, the consultant will send you a contractual letter after the first meeting that includes an outline of the work they will do and an estimate of the time and money involved. This letter may be enough. Or, from there, you jointly develop a contract, negotiate, and finalize the arrangements.

Most failures in consultant-client relationships occur because of a misunderstanding about expectations, roles, and what's to be done. Therefore, an explicit statement of the consultant's promised service, in conformance with your expectations, should result in writing. Most contracts are double-signed letters. The letter/contract should include, or should refer to a proposal which includes:

- *Description of tasks and time lines.*
- *The number of person-days involved.*
- *Description of end result -- what kind of reports, how often you want them, etc.*
- *A statement providing for cancellation of the contract by either party upon giving several days notice to the other party.*
- *Fee and payment schedule.*

Two of the most frequently used fee arrangements are these: A package cost -- the total charge for providing the complete service without a breakdown of the items -- or a per diem (cost per person-day) cost plus expenses.... An open-ended per diem arrangement without specifying the total days could get more expensive than you anticipated.

You should expect to spread out your payments in reasonable increments in relation to the percentage of work done. The client rarely should have to put up money at the start. If such is asked, check with your lawyer. In fact, it's a good idea to check with a lawyer any time a consulting contract seems unclear or involves a significant amount of money. If the contract is sizable, the consultant should probably make a presentation before your board of directors.

For your own leverage and protection, be sure to tie your final payment to receipt of the finished product -- a final report or other relevant outcome data that you both agreed upon in writing.

One of the major problems faced by users of assistance is locating the right resource. Since there is no formal referral system, the following discussion introduces some of the programs, organizations, or institutions which provide services and advice for rural development and related matters.

I. FEDERAL AGENCIES

Numerous services related to capacity-building are provided by federal agencies. These range from assistance in preparing applications for a particular agency's program to technical information on conserving and utilizing natural resources such as soil, water, and forests; to directly assisting in the development of cooperatives, small businesses, housing, and recreational sites. While federal assistance is usually free, federal staff are not always available when needs arise, and the quality of assistance varies. Major programs which provide technical assistance are discussed below, using reference codes from the Catalog of Federal Domestic Assistance.

A. Economics, Statistics and Cooperative Service (Department of Agriculture) 10.350

The Cooperative Development Division provides technical assistance, research, and counseling services to rural and farmer cooperatives and to groups of farmers and other rural residents interested in forming cooperatives. A variety of publications is available. Ask for a publication list. Requests for technical assistance by a cooperative should be a resolution from a cooperative board of directors, and requests for assistance in forming a co-op should be made in writing on behalf of producers or rural residents interested in forming a cooperative. Contact:

Cooperative Development Division
Economics, Statistics and Cooperative Service
U.S. Department of Agriculture
Washington, DC 20250
(202) 447-8870

B. Forest Service (Department of Agriculture) 10.657-10.660

State forestry agencies obtaining financial assistance from the Forest Service provide counseling to private woodland owners and local agencies in such matters as forest management and processing, insect and disease prevention and control, tree production, and land use planning.

Contact your State forestry agency, or if unknown, contact:

Forestry Service
U.S. Department of Agriculture
P.O. Box 2417
Washington, DC 20013

C. Domestic and International Business Administration (Department of Commerce) 11.104

Advisory services and counseling are provided to business, public officials, civic organizations, and private citizens in such matters as providing data and assistance concerning government procurement, analysis of growth and outlook for specific industries, foreign trade information, and information on a variety of technical developments in business, industry and trade. Contact:

Domestic and International Business Administration
U.S. Department of Commerce
Washington, D.C. 20230
(202) 337-3674

D. National Oceanic and Atmospheric Administration (Department of Commerce) 11.411

Technical advice and assistance is provided in organizing and operating fishery cooperatives. A publication, "Organizing and Operating Fishery Cooperatives in the United States", is also available. Contact:

Division of Industry and Marketing Services
National Marine Fisheries Services
3300 Whitehaven Street, N.W.
Washington, D.C. 20007

E. Office of Minority Business Enterprise (Department of Commerce) 11.800

Technical and management assistance is rendered by research contractors to minority business persons and minority-owned firms at no cost. This includes all forms of counsel, guidance and advice on the establishment and operation of a business enterprise, such as inventory control, financial management, quality control, legal affairs and site location. Contact:

Office of Minority Business Enterprise
U.S. Department of Commerce
Main Commerce Building
Washington, DC 20230

F. Facilities Engineering and Property Management (Dept. of Health, Education and Welfare) 13.667

A single point of contact is provided on the architectural/ engineering problems and evaluation of proposals for health, education and rehabilitation facilities.

Applicants are consulted to insure that design and construction meet federal requirements and to offer suggestions based on the latest technology and on new and innovative methods for accomplishing design and construction. Contact:

Office of Facilities Engineering and
Property Management
U.S. Department of Health, Education and
Welfare
330 Independence Avenue, S.W.
Washington, D.C. 20201
(202) 245-6376

G. Indian Action Team Program (Department of Interior) 15.107

Technical assistance and training are provided to Indians and Alaskan natives in community development, including construction, operation, repair and maintenance of buildings and utilities as well as needed skills for commercial enterprise. Contact:

Indian Technical Assistance Center
Bureau of Indian Affairs
1075 South Yukon
Box 26268 Belmar Branch
Lakewood, Colorado 80226
(303) 234-3863

H. Indian Forests - Management, Protection and Development (Department of Interior) 15.112

Assistance is provided to Indian tribes and individual Indians in establishing and administering Indian timber sales; development, management and protection of Indian forest lands; protection of Indian forest lands from wildfires and forest insects and diseases; and protection of rangelands from wildfires. Contact your field office of the Bureau of Indian Affairs, or:

Division of Trust Services - Forestry
Office of Trust Responsibilities
Bureau of Indian Affairs
18th and C Streets, N.W.
Washington, DC 20245

I. Indian Housing - Development (Department of Interior) 15.115

Assistance is provided to Indian tribes in establishing housing authorities to obtain benefits of HUD housing programs; technical and administrative assistance to local Indian housing authorities in the development and management of federally-funded Indian housing projects; and in the development and implementation of Resident Training and Counselling Programs for occupants of Indian housing projects. Contact:

Division of Housing
Bureau of Indian Affairs
18th and C Streets, N.W.
Washington, DC 20245
(202) 343-4876

J. Indian Business Enterprise Development (Department of Interior) 15.117

Aids in the establishment or expansion of business enterprises on or near reservations with emphasis on Indian ownership, management, and employment. Contact:

Indian Business Enterprise Division
Bureau of Indian Affairs
Main Interior Building
18th and E Streets, N.W.
Room 4543
Washington, D.C. 20245
(202) 343-6302

K. Outdoor Recreation (Department of Interior) 15.402

Advice and assistance is provided to public agencies and private interests in developing and implementing recreation and open space land acquisition and preservation programs. Technical information is also provided in planning, developing financing, and managing outdoor recreation programs. Contact the Bureau of Outdoor Recreation regional director, or:

Division of Cooperative Services
Bureau of Outdoor Recreation
U.S. Department of the Interior
Washington, DC 20240
(202) 343-5754

L. Park and Recreation Technical Assistance (Department of Interior) 15.906

Assistance is provided to Indian tribes, state, and local governments in furthering their park and recreation programs. Technical and advisory services include agency organization, operation and maintenance of park systems, personnel training, historical and archeological programs, and general development planning. Contact the regional office of the National Park Service, or:

Division of Federal and State Liaison
National Park Service
U.S. Department of the Interior
Washington, D.C. 20240
(202) 523-5169

M. Management Assistance to Small Businesses (Small Business Administration) (59.005)

Assistance includes workshops for prospective small business owners, management counseling; management courses, conferences and clinics; and publications to assist in management of small businesses. Contact the Small Business Administration's field office, or:

Assistant Administrator for Management Assistance
Small Business Administration
1441 L Street, N.W.
Washington, DC 20416
(202) 653-6881

N. Solid Waste Management Technical Assistance and Information Services (Environmental Protection Agency) 66.011

Technical assistance and technological information are available to public authorities, agencies, institutions, industries and individuals for planning, programming, and budgeting of solid waste management programs. Fees may be charged for certain services. Contact the regional office of the Environmental Protection Agency, or:

Management and Information Staff
Office of Solid Waste Management Programs
Environmental Protection Agency
Washington, DC 20460
(202) 755-9170

O. Drinking Water Supply - Technical Assistance (Environmental Protection Agency) 66.425

Assistance is available to any state or any utility which coordinates their request through a state to assure that water supply systems serving the public meet national standards for the protection of public health. Contact the regional office of the Environmental Protection Agency, or:

Office of Water Supply
Environmental Protection Agency
Office of Water Hazardous Materials
Washington, DC 20460

II. STATE AGENCIES

The principal agency at the state level for providing technical assistance to local officials is the Department of Community (Local) Affairs. This assistance may include help in preparing applications for federal assistance (particularly in housing and community development), "circuit riders" to provide on-site management assistance, training workshops, referral services, publications, and various other information services. Community Action agencies are assisted by State Economic Opportunity Offices, some of which are located in the Departments

of Community Affairs. Other State Economic Opportunity Offices are cabinet-level agencies or special sections within the governor's office.

Other departments and agencies, as suggested in Chapter Two, provide technical assistance on a functional basis. These roles will not be further elaborated.

III. LAND - GRANT UNIVERSITIES AND COOPERATIVE EXTENSION SERVICE

The Cooperative Extension Service is headquartered at the land-grant university in each state and operates at the county level. It is a partnership between each state land-grant university, the U.S. Department of Agriculture, and the county government. Aside from its traditional responsibilities in agriculture, home economics, and youth, extension staff can often be of assistance in the areas of economic development, community services, and human development. County offices are usually located in the courthouse, post office, or other government building in your county seat town. The quality and responsiveness varies from county to county and state to state.

Land-grant universities have as their primary focus research in agricultural production and economics. In recent years, this scope of work has been broadened, and they provide research supporting rural development from University Experiment Stations and from various campus units such as agricultural, economic, social science research centers and engineering, business, industrial, environmental, and political science research units. Graduate and undergraduate students have become involved through instructional staff in research, study, consultation, and special services to communities.

The Title V program is administered differently in the various states, with some concentrating assistance in certain counties or regions of the state. The major involvement of land-grant universities in rural development has been stimulated through Title V of the Rural Development Act of 1972. This small funding source assists land-grant universities in their efforts to help rural people attain their development goals by establishing linkages among research, extension, government agencies, and rural people.

An evaluation of Title V conducted jointly by the National Rural Center and Pennsylvania State University found that projects were carried out in the fields of community development, economic development, employment and job training, fire protection, forestry, health, housing, industrial development, land use planning, leadership training, recreation, water and sewer development, small business, and transportation. A directory of state Title V programs is available from the National Rural Center. (Presently, the future of Title V is uncertain since its authority soon expires).

Funds under Title V have also established four regional rural development centers to develop knowledge essential to rural

development and to provide technical consultation where needed. These centers are:

Southern Rural Development Center
Box 5406
Mississippi State, Mississippi 39762
Dr. William W. Linder, Director
(601) 325-5843

Northeast Regional Center for Rural Development
242 Roberts Hall
Cornell University
Ithaca, New York 14853
Lee M. Day, Director (607) 256-7743

North Central Regional Center for Rural Development
108 Curtis Hall
Iowa State University
Ames, Iowa 50011
Ronald C. Powers, Director (515) 294-8397

Western Rural Development Center
307 Extension Hall
Oregon State University
Cornwallis, Oregon 97331
Russell Youmans, Director (503) 754-3621

IV. EDA UNIVERSITY CENTERS

Through the Economic Development Administration's technical assistance programs, funding is provided to various university centers to provide technical assistance to businesses, industries, communities, and nonprofit civic organizations to create jobs and improve income. Services include evaluating the feasibility of business opportunities, developing financial and management structures for new enterprises, planning expansion of small businesses, and feasibility studies regarding new sources of energy. The following is a list of university centers.

ALABAMA

Technical Assistance Center
Auburn University
2232 Haley Center
Auburn, Alabama 36830

Alabama Center for Higher Education
2121 Eighth Avenue, North
Birmingham, Alabama 35203
(205) 324-4626

ARKANSAS

Industrial Research and Extension Center University of Arkansas
P.O. Box 3017
Little Rock, Arkansas 772203
(501) 371-1971

CALIFORNIA

Center for Business and Economic Development
California State University - Chico
Chico, California 95929
(916) 985-5938

FLORIDA

EDA University Center
415 North Monroe Street
Tallahassee, Florida 32301
(904) 644-1044

GEORGIA

Industrial Development Division
Engineering Experiment Station
Georgia Institute of Technology
Atlanta, Georgia 30332
(404) 894-3800

KENTUCKY

Center for Business Development
College of Business and Economics
University of Kentucky
Lexington, Kentucky 40506
(606) 257-1751

MASSACHUSETTS

University Center for Economic Development
University of Massachusetts
Blaisdell House
Amherst, Massachusetts 01003
(413) 545-2053

MAINE

New Enterprise Institute
Center for Research & Advanced Study
University of Maine at Portland Gorham
246 Deering Avenue
Portland, Maine 04102
(207) 773-2981--x472

MISSISSIPPI

Mississippi Research & Development Center
P.O. Drawer 2470
Jackson, Mississippi 39205
(601) 982-6457

MISSOURI

Industrial Research and Extension
University of Missouri
Columbia, Missouri 65201
(314) 882-4321

NEW HAMPSHIRE

Center for Industrial & Institutional Development
McConnell Hall
University of New Hampshire
Durham, New Hampshire 03824
(603) 862-2460

NEW JERSEY

Rutgers University Business Development Centers
65 Central Avenue
Newark, New Jersey 07102
(201) 648-5621

NEW MEXICO

Business Assistance and Resource Center
University of New Mexico
Albuquerque, New Mexico 87131
(505) 277-3541

NEW YORK

Technical Assistance Center
State University of New York College
Plattsburgh, New York 12901
(518) 564-2214

NORTH CAROLINA

Center for Economic Development
North Dakota State University
Fargo, North Dakota 58102
(701) 237-8873

NORTH DAKOTA

Center for Economic Development
North Dakota State University
Fargo, North Dakota 58102
(701) 237-8873

OKLAHOMA

University Center of Oklahoma
East Central Oklahoma State University
Ada, Oklahoma 74820
(405) 332-8000--x468

TENNESSEE

Regional Economic Development Center
Memphis State University
Memphis, Tennessee 38152
(901) 454-2056

Technical Assistance Center
University of Tennessee
109 Student Services Building
Knoxville, Tennessee 37916
(615) 974-6623

WASHINGTON

Center for Economic Development
College of Economics and Business
Washington State University
Pullman, Washington 99163
(509) 335-1576

V. OTHER COLLEGES AND UNIVERSITIES

Some institutions of higher learning are organized to provide specific services to local communities in conjunction with ongoing educational programs. Some notable examples include:

A. Appalachian Leadership and Community Outreach, Inc.
Hazard, Kentucky

A consortium of six Appalachian colleges serving as area resource centers in the areas of community development and organization, education, health, nutrition, recreation/arts and crafts, and social services.

B. Center for Regional Studies/Murray State University
Murray, Kentucky

The university's resources are made available to industry, small business, local governments, and other organizations to assist in such matters as tax assessments, recreation, personnel administration, tourism promotion, health planning, water quality analyses, etc.

C. Small Town Advisory Services/Navarro College
Coricana, Texas

A service to local governments within a 50 mile radius of the college provided for a minimal fee in such areas as meeting state and federal requirements and obtaining state and federal grants, drafting local codes and ordinances, organizing and managing local government, and in technical information.

D. Countryside Council/Southwest Minnesota State College
Marshall, Minnesota

The council was established under the aegis of a post-secondary consortium providing services in such areas as leadership and training of local officials, community and regional development, human services delivery, and alternative ways to provide educational and cultural resources for the people of the area.

E. Center for Community Organization and Area Development/
Augustana College, Sioux Falls, South Dakota

The Center offers assistance in community goal setting, leadership training, community analysis, management consultation, citizen feedback systems, curriculum development, community conflict resolution, management consulting, organizational development, and leadership training. CENCOAD serves the 60-mile radius of Sioux Falls which includes areas of Iowa, South Dakota and Minnesota.

F. Alabama Center for Higher Education, Birmingham, Alabama

A consortium of eight Alabama Colleges with a strong commitment to community outreach efforts. Through its Human Resources Research and Development Program, technical assistance centers provide fiscal management training and community development research, analysis of local governments, community agencies, economic cooperatives and civic organizations.

The involvement of these institutions suggests ways in which higher learning institutions in your area may be involved or may be stimulated to become more involved in rural development activities. Assistance may be provided by the various departments or schools in the areas of their speciality (for example, schools of architecture may assist in designing community centers, housing, and similar facilities; political science or governmental divisions may help recommend solutions to public administrative problems; or business schools may be useful in providing feasibility studies and evaluating business plans. For nonprofit organizations, another potential resource at institutions of higher learning is the program development officer who may have numerous contacts with foundation and corporate officials and might be willing to advise your organization in its resource development activities as well as to introduce you to potential resources.

VI. MULTICOUNTY PLANNING ORGANIZATIONS

Economic development districts, councils of governments, and other multicounty planning bodies provide planning assistance in such areas as housing, land use, economic development, health, transportation, and resource conservation and development. In addition to the planning roles of multicounty planning organizations, technical assistance is also provided as time and expertise allow. Assistance is provided to local governments (and sometimes organizations) in locating financial assistance and completing applications, holding issue seminars to inform local leaders, and assisting local governments with a particular problem such as solving waste disposal problems. Obviously, the type and quality of assistance vary greatly.

VII. MEMBERSHIP ASSOCIATIONS

A number of national, regional, and state organizations provide a variety of informational services as well as advocacy for local governments and organizations. At the national level potential members and their associations include:

Counties - National Association of Counties
1735 New York Avenue, N.W.
Washington, D.C. 20006
(202) 785-9577

Towns and Townships - National Association of Towns and Townships
1800 M Street, N.W.
Washington, D.C. 20036
(202) 452-8100

Community Development Corporations	-	National Congress for Community Economic Development 1828 L Street, N.W. Washington, D.C. 20036 (202) 659-8411
Community Action Agencies	-	National Center for Community Action 1328 New York Avenue, N.W. Washington, D.C. 20005 (202) 667-8970
Cooperatives	-	Cooperative League of the U.S.A. 1828 L Street, N.W. Washington, D.C. 20036 (202) 672-0550

VIII. NATIONAL NONPROFIT ORGANIZATIONS

National organizations provide information and technical assistance in a wide range of functional areas. Usually the services from these organizations are free, but the capacity of national organizations to provide on-site assistance or training workshops is often limited due to staff availability, expertise, and travel budgets. Moreover, assistance may be limited to nonprofits, community-based organizations, etc.

The following is a description of major national organizations providing technical assistance in one or more areas related to rural development. For additional information, the National Rural Center's Directory of Rural Organizations is available without charge.

A. National Rural Center's Information Clearinghouse
1828 "L" Street, N.W.
Washington, D.C. 20036
(202) 331-0258

Assistance is provided to state and local officials, community organizations and individuals in identifying potential public and private resources to help resolve problems or increase opportunities in rural areas. Assistance is provided in a broad range of areas including economic development, community development, health, recreation, transportation, cultural promotion and preservation, etc. In addition, reference requests are honored on subjects related to rural development through literature searches and preparation of bibliographies.

B. Rural America, Inc.
1346 Connecticut Avenue, N.W.
Washington, D.C. 20036
(202) 659-2800

Provides technical assistance to farm worker and other local housing groups in the field of housing, especially self help housing. Serves as a national clearinghouse for information and services to rural individuals and groups. Publishes a monthly journal, Ruralamerica, and a monthly housing newsletter, RHA Reporter, as well as special reports, studies, and technical handbooks.

C. Center for Community Change
1000 Wisconsin Avenue
Washington, D.C. 20007
(202) 338-6310

Provides technical assistance and other support to low-income and minority community organizations throughout the country. Support includes help in program planning and implementation, large scale physical development projects, resource development, internal administration, training and workshops, and general information. The Center has published a series of Citizen Action Guides to various federal programs.

D. Housing Assistance Council
1828 "L" Street, N.W.
Washington, D.C. 20036
(202) 872-8640

Services include: 1) revolving seed money loan fund for organizations that build or repair housing for rural low-income citizens, 2) technical assistance and training in using federal and state housing and community development programs, and 3) research and information (statistical, technical, and general) on current rural housing issues, particularly those that affect minority groups and the system by which housing resources are delivered to low-income communities and individuals in rural areas. Publications include: HAC News (twice monthly, free), Housing and Community Development Program Guide for Small Towns ($5.00 prepaid), and a variety of guides to specific federal housing programs listed in HAC's publication list.

E. National Demonstration Water Project
1820 Jefferson Place, N.W.
Washington, D.C. 20036
(202) 296-6955

State-wide water-sewer development projects are underway in Virginia, South Carolina, Florida, Alabama, Arkansas,

New Mexico, and California. In addition, NDWP provides management and technical assistance on water-sewer problems and has several manuals for developing and supporting facilities listed in NDWP's publication list, Rural Water Bookshelf.

F. National Council of La Raza
1725 Eye Street, N.W., Suite 210
Washington, D.C. 20005
(202) 659-1251

Provides technical assistance to Spanish-speaking individuals and groups in such areas as employment, housing, education, health, and economic and business development. The Assistance Group for Rural Economic Development is a special program of the National Council serving the states of Texas, Utah, and New Mexico. Technical assistance is provided in marketing, management, and finance to those involved in rural economic development via agriculture, agribusiness, and/or recreation. The Assistance Group can be contacted at 2403 San Mateo Boulevard, N.W., Suite 5-14, Albuquerque, New Mexico 87110.

G. The Grantsmanship Center
1015 West Olympic Boulevard
Los Angeles, California 90015
(213) 485-9094

Conducts week-long grantsmanship training programs in various locations across the country for nonprofit and public agencies. The Grantsmanship Center News is available for $15.00 a year, and reprints of articles on special subjects are also available. There is also a Washington, D.C. office.

H. The Support Center
1424 16th Street, N.W.
Suite 201
Washington, D.C. 20036
(202) 265-2443

Provides one-day workshops, on-site consultation, and workshops designed to meet specific needs of a large number of groups in the areas of accounting, bookkeeping, planning, evaluation, organizational development, obtaining and keeping tax-exempt status financial development, fund-raising, public relations, office management, administrative and information systems. Organizations assisted must be non-profit and tax-exempt or those with potential for obtaining this tax status. The Support Center's publications include; You Don't Know What You Got Until You Lose It; An Introduction to Accounting, Budgeting, Tax Planning and the National Directory of Nonprofit Management Support and Management Information Organizations. There is also a San Francisco office.

IX REGIONAL NONPROFIT ORGANIZATIONS

Since regional organizations are closer to the communities they serve and are apt to be responsive to the particular needs of the region, special consideration should be given to them as sources of technical assistance. Some regional organizations focusing on rural development include:

A. Independent Community Consultants
Box 141
Hampton, Arkansas 71744

Assistance includes planning assistance, such as on-site planning and organizational development services, grant writing, and resource mobilization; research and evaluation; training, either on-site or workshops on fund-raising/proposal writing, trainer's training, design of program evaluation systems, and managing small, nonprofit organizations; and information through a series of publications of importance to nonprofits. Fees are usually computed by task rather than by the day.

B. Consultants in Community Development, Inc.
Box 1051
Norman, Oklahoma 73069

Assistance includes program/organizational planning and development and training in design, implementation, and evaluation. Areas in which training is available include leadership development, community organization, board of director and advisory board development, program planning, proposal writing, etc. Assistance is limited to nonprofit organizations located in Oklahoma and neighboring states. Fees are based on a sliding scale up to $150 a day.

C. Resources for Community Alternatives
P.O. Box 5434
Sante Fe, New Mexico 87501

Assistance is provided through training or consultation in such areas as planning, program development, proposal writing, fund raising, management support, research, program evaluation, organizational development, board of director development, incorporation and tax-exemption, etc. Focus is on health, mental health, education, housing, economic development, community development, consumerism, and social services. Private non-profit organizations and public agencies are assisted.

D. Northern Rockies Action Group, Inc.
9 Placer Street
Helena, Montana, 59601

Assistance is provided in organizational planning: start-up of organizations, project definition and selection, organizational structure, Board, member and affiliate roles, and Board training; membership recruiting; fund raising; financial management; media access; and community organizing techniques. Assistance is restricted to Wyoming, Montana, and Idaho. Fees are based on a sliding scale with a minimum of $25 per day.

E, Mountain Management Institute/ Human Economic Appalachian Development
P.O. Box 68
Berea, Kentucky 40403

R.F.D. 4
Box 355
Abingdon, Virginia 24210

The Mountain Management Institute is the training component of HEAD which provides assistance through workshops. Workshops may involve teaching business and managment skills, advice in bookkeeping and marketing, loan packaging, and cooperative development. HEAD provides consultative services to member organizations who are self-help, church-related organizations. Emphasis in cooperatives, non-profit housing, and manpower training.

F. Mountain Association for Community Economic Development, Inc.
200 Short Street
Berea, Kentucky 40403

Provides assistance to Central Appalachian community based economic development organizations in planning and carrying out projects which improve the ability of their local economies to serve the needs of low and moderate income community residents. Assitance includes planning and financing small locally owned businesses and cooperatives; assessing economic development opportunities and developing appropriate programs, planning and finding the resources to carry out community revitalization efforts; and carrying out organization development programs. Fees, if charged, are based on the clients' ability to pay.

G. Arkansas Institute for Social Justice
523 West 15th Street
Little Rock, Arkansas 72202

Specializes in the support and development of successful community organizing techniques and projects. It conducts workshops on various issues on a regional basis; provides on-site consultation in some instances; conducts intensive week-long seminars in Little Rock providing an in-depth introduction to a practicing, successful community organization and conducts regional conferences on community organizing.

X. PRIVATE CONSULTANTS

While most consultants are referred by word-of-mouth, the Consultants and Consulting Organizations Directory can be ordered from Gale Research Company, Book Tower, Detroit, Michigan 48226. Also, the National Center for Community Action has published a directory for community action agencies entitled, Directory of Consultants and Consultant Services for Community Action Agencies, available from NCCA, 1328 New York Avenue, N.W., Washington, D. C. 20005. Refer to the preceding excerpt from the Youth Project's HELP for information on how to choose a consultant.

FUNCTIONAL CROSS-REFERENCE

SUBJECT	CHAPTER ONE: FEDERAL	CHAPTER SIX: ASSISTERS
Business Development	I B 1; I B 2; II A 3; II A 5; II A 6; II A 7; II B 1; V A 2; VIII C 2; VIII G 1.	I C; I E; I G; I M; II; IV; VI; VIII F; IX G.
Community Development	I B 3; III C 1; IV A 1; IV A 2; IV A 3; IV A 4; IV A 5.	I G; II; III; VI; VIII B; VIII D.
Community Facilities	I B 3; I B 4; II A 1; II A 2; II C 1; III C 4; IV A 1; IV A 2; IV A 3; VIII D 3.	I F; II; III; VI; VIII A; VIII E.
Cooperatives		I A; I D; VII; IX E.
Cultural Promotion	VIII F 1.	VIII A.
Economic Development	I B 1; I B 2; II A 1; II A 2; II A 3; II A 5; II A 6; II A 7; II B 1; II C 1; IV A 4; V A 2; V A 3; VIII C 2; VIII C 5; VIII G 1.	I C; I E; I G; I J; I M; II; III; IV; VI; VII; VIII A; VIII C; VIII F; IX C; IX E; IX G.
Education	II C 1; III B 1; III B 2; V A 4; VIII B 9.	I F; III; VII A.
Energy	I D; II A 2; II C 1; VI A 5; VIII C 3; VIII C 4.	II; III; IV.
Farmworker Programs	I B 9; III A 3; VI A 3.	*1
Fire Protection	I B 3; I C 1.	III; *2.
Fisheries	II C 1.	I D.
Forestry	I A 1; II C 1.	I B; I H; III.
Health Facilities	I B 3; II C 1; III A 1; III A 2; III A 3; III A 4; VIII B 2.	I F; II; III; VI; VIII A; VIII B.
Historic Preservation	IV A 1; IV A 2; IV A 3; V C 1.	II; VI; *3.
Housing	I B 7; I B 8; I B 9; I B 10; I B 11; I B 12; III C 1; IV A 1; IV A 2; IV A 3; IV A 4; V A 1; VIII B 3; VIII B 4.	I I; II; III; VI; VIII D.
Industrial Development	I B 2; I B 3; II A 1; II A 2; II A 5; II A 6; II C 1; VI A 4.	I C; II; III; IV; VI.
Legal Services	VIII E.	*4.

SUBJECT	CHAPTER ONE: FEDERAL	CHAPTER SIX: ASSISTERS
Manpower Development	II C 1; III C 1; VI A 1; VI A 2; VI A 3; VI A 4; VI A 5; VI A 7; VI A 8; VI A 9; VIII B 9.	II; III; VIII A; VIII C.
Native American Programs	I B 14; II A *5; II B 1; III C 1; IV A 3; V A 1; V A 2; V A 3; V A 4; VI A 4.	I G; I H; I I; I J.
Planning	I B 13; II A 4; IV A 5; VIII B 6; VIII B 10.	II; III.
Recreation	I B 3; I B 5; I B 6; I E; V B 1; V B 2.	I K; I L; III.
Senior Citizens	III C 4; VI A 9.	
Sewer Development	I B 4; II A 1; II C 1; IV A 1; IV A 2; IV A 3; VIII D 3.	II; III; VIII E; *6.
Solid Waste Disposal	I B 4; VIII D 3.	I N; III.
Water Development	I B 4; II A 1; II C 1; IV A 1; IV A 2; IV A 3.	I O; II; VIII E.
Transportation	II C 1; VII A 1; VII A 2; VII B 1; VII B 5; VIII B 10.	

*1 The National Association of Farmworker Organizations, 1328 E Street, NW, Suite 1145, Washington, DC, 20004, phone (202) 347-2407, acts as a clearinghouse of information for farmworker programs and as a catalyst for farmworkers and their organizations.

*2 The National Fire Prevention and Control Administration, U.S. Department of Commerce, Washington, DC, 20230, phone (202) 634-7660, provides information on fire protection and publishes Small Community and Rural Guide for Fire Protection and Control Master Planning.

*3 The National Trust for Historic Preservation, 740 - 748 Jackson Place, NW, Washington, DC, 20006, provides consultant service grants to nonprofit or public member organizations to pay for consultants on preservation problems. Grants average $1,000 to $2,000 and support such projects as historic district and property feasibility studies. Its Guide to Federal Programs is available.

*4 The National Rural Center has Guide to Resources for Rural Justice, which lists other federal financial programs; private, non-profit organizations; foundations; examples of rural legal service delivery systems; and support centers. Ask for A Beginning Assessment of the Justice System in Rural Areas ($5.00 pre-paid) from the National Rural Center.

*5 The Economic Development Administration's Indian Affairs Office is at 7312 Main Commerce Building, Washington, DC, 20230, phone (202) 377-4322.

*6 The Environmental Protection Agency's National Training and Operational Technology Center is located at 26 West St. Clair Street, Cincinnati, Ohio, 45268, (513) 684-7515.

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COMMENTS AND SUGGESTIONS

General reaction to the Resource Guide for Rural Development:

Were any programs or services discussed in the Resource Guide previously unknown to you? Do you now hope to utilize them?

Are there programs or services you have tapped or are aware of, which were not discussed or were not discussed adequately? Please explain.

Are there processes, programs, agencies, organizations, institutions, or any resources for rural development on which you would like additional information? (Aside from including additional information in the updated version, we will try to respond to your individual request). _____

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Was the level of information too complicated, too elementary, or about right? How could it be improved? _____

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What has been your experience with any of the resources discussed?

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_____

Your name _____

Organization/Agency _____

Address _____

_____ Phone _____

Areas of involvement or expertise _____

_____

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